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ABSTRACT

This publication represents the combined efforts of the participants in a workshop held at the University of Wyoming. The writings discuss accountability at the national, State, and local levels and explain the application of planning, programing, and budgeting systems to be accountability concept. The report presents methods for evaluating both schools and their staffs as means for implementing an accountability system. Appendixes include a paper explaining performance evaluation, a list of internal and external evaluation guides, and a bibliography of evaluation criteria materials. (JF)

ED055359

ACCOUNTABILITY IN EDUCATION

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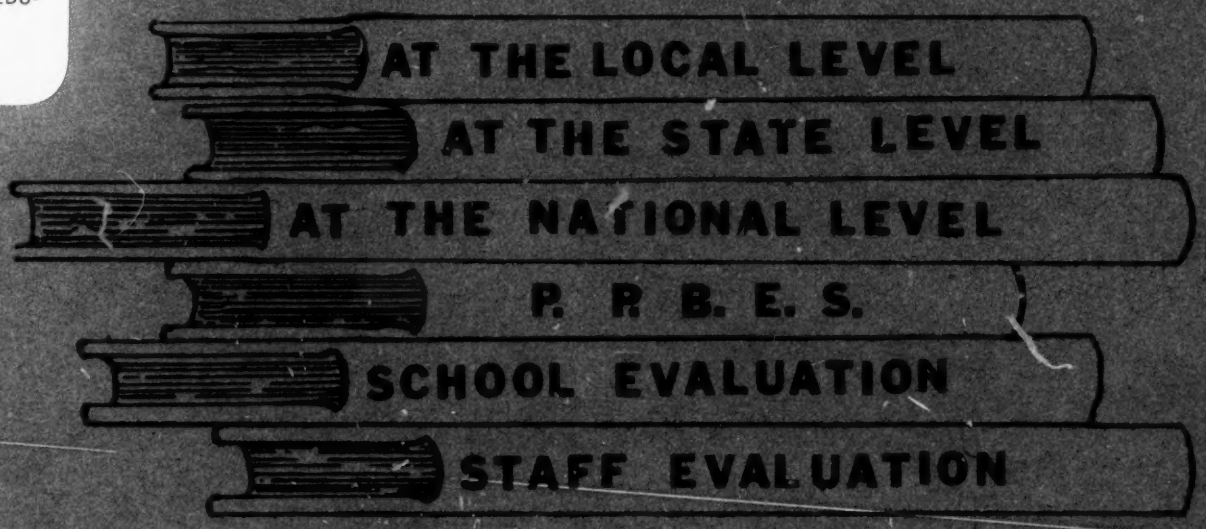

888M

A WORKSHOP IN

SCHOOL ADMINISTRATION

UNIVERSITY OF WYOMING

SUMMER

1970

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ACCOUNTABILITY IN EDUCATION

Educational Administration Workshop

Summer, 1970

Directed by

Maurice Wear and Myron Basom

Department of Educational Administration

College of Education

University of Wyoming

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PREFACE

This publication represents the combined efforts of the participants in an administrative workshop held on the University of Wyoming campus in the summer of 1970. The participants based their writings on the prepared remarks of consultants, speakers and panelists. Background materials were used by the attendees to supplement and augment formal presentations.

Graduate students Spike Jorgenson, Harvey Ludwick and Steve Traw were instrumental in editing individual and group efforts into final form.

The workshop staff is indeed grateful to all those who participated as speakers and students to produce this publication on accountability in public education.

COMMITTEE REPORTS ON ACCOUNTABILITY

IN EDUCATION

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I. ACCOUNTABILITY IN EDUCATION AT THE NATIONAL LEVEL

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Accountability in education at the national level will be considered in reference to two areas, accountability of federal programs and National Education Association.

Accountability of Federal Programs

The primary educational agency of the federal government is the Office of Education which is a division of the executive branch of the government. For many years the function and status of the Office of Education reflected the weak role of the federal government in education. Its primary functions were advisory and informational.

Since its establishment in the Department of Health, Education, and Welfare, and as a result of the growing federal involvement in education, the Office of Education has grown in responsibility and stature. "The Office of Education now functions very largely as the administrative base for the operation of federally sponsored programs dealing substantially with education."[1]

The President of the United States exercises considerable influence upon education through his suggested programs of legislation, public policy statements, and as we have seen recently, through his appointments to educational offices. Presidents Hoover, Truman, Eisenhower, and Kennedy appointed special educational commissions to investigate education and suggest methods of solving the problems facing the nation in the field of education.

The White House Conference on Education during the Eisenhower administration spurred similar conferences to be held in the states and brought about some citizen appraisal of the educational problems facing the nation.

In 1960 the Russians lofted their first satelite into orbit around the earth and caused many recommendations to be made concerning the strengthening of our educational systems, particularly in the fields of mathematics and science. President Johnson took steps in the direction away from sponsoring activities and toward direct recommendations to Congress who accepted his proposals with very little hesitation.

The Supreme Court has had an increasingly strong influence on public education in the past few years. The cases which affect education are usually concerned with the question of state jurisdiction versus federal jurisdiction or in the civil rights area. The 1954 ruling which declared that racial segregation in schools was unconstitutional reversed previous Supreme Court decisions which stated that "separate but equal" schools were acceptable. This ruling has probably had more far reaching affect on school organization than any single act or occurrance in the history of public education in the United States.

The federal government has reached into many other facets of education, some of which are in the fields of vocational education, higher education (through the establishment of the National Science Foundation in 1950), special educational opportunities for veterans, physically or mentally handicapped persons, economically disadvantaged, etc. Most of the involvement has been in the form of special grants or contracts with educational institutions. "In concept the federal government is purchasing services from educational institutions."[2]

As can be seen from the foregoing, the federal government in the United States has gone from a disinterested onlooker in educational practices to a full-fledged partner with the states not only in financing some special areas but in actually determining the direction education is now taking and will take in the future. Along with this newly assumed role of leadership from the federal level must necessarily go an increased assumption of responsibility and accountability for educational results.

In the past the federal agencies could point the finger directly at the state or local educational institution for accountability for their programs. Now the federal agencies must account for their activities in education. Since the federal government does not deal directly with the American public, its accountability must necessarily be channeled through state or local agencies. The gathering of the information necessary to report and account for all federal programs involving education is an almost insurmountable task because of the complexities of the programs.

It then becomes necessary for each program to develop its own procedure for accountability.

An interaction must be established between the local receiving agency and the federal office responsible for the funding or administration of the special program. Reports should be issued from the federal agency on the general success of the programs it sponsors and specific reports will have to be issued from individual institutions that are actually carrying on the program. A problem immediately develops in this arrangement because of the diverse interests of the federal government and the local educational agency. The objectives of the educational institution and the federal government are not always congruent. Most educational institutions strive for balance of excellence throughout their various departments while the government may be interested in only small segments of the whole program. This tends to create problems within the educational institutions themselves. Educators are now asking for programs which will strengthen their entire programs, but the government has been reluctant to become too involved in this area with the possible exception of libraries, classrooms for general use, and laboratories. The present accountability for federally sponsored programs is almost non-existent. The federal agency points to the local educational unit for accountability, and the local unit declines to accept responsibility because so many of the programs are in the "experimental" stage.

Too many local educational units feel little responsibility for accounting for their "experimental programs" because there is seldom any local finance involved. This feeling is particularly in evidence if the "experiment" turns out to be somewhat less than sensational in its accomplishments.

Accountability of the National Education Association

The National Education Association was organized in 1857 with the expressed purpose "to elevate the character and advance the interests of the profession of teaching and to promote the cause of popular education in the United States."[3]

It is a specific aim of the Association to earn and hold public confidence, so that it follows then that all actions taken by the Association must be done in a way that will stand public scrutiny and can be considered to be accountable.

The National Education Association encompasses thirty-three different departments, each representing a specific phase of the total educational program. Each of the departments hold regional meetings through the year to disseminate information to as many people as possible. Most of the departments have on-going research projects to accumulate information to assist the teachers and other school people in the field in each specified area. Obviously through these efforts the Association is attempting to be accountable to the public, but in these cases perhaps it could be criticized because it is directing its efforts toward special interest groups.

Another way that the Association is attempting to meet its responsibility of being accountable is through its many publications. Hundreds of publications are released annually under the sponsorship of the National Education Association.

The National Education Association has, over the years, attempted to improve the quality of education in the United States by constantly striving to improve the welfare of the members of the profession. Through its efforts educators have gained tenure, retirement benefits, and higher salaries. In addition, a code of ethics, adopted by the Association, governs the conduct and the performance of the members of the organization.

The NEA maintains a strong lobbying group in Washington to initiate and promote Federal education programs. The Association must be prepared to document and account for the need for such programs before any action can be expected from Congress.

In summary, since the National Education Association is a service organization responsible to its membership of some one million persons, its basic purpose is to account to its members for all of its actions.

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II. ACCOUNTABILITY IN EDUCATION AT THE STATE LEVEL

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Ways of Implementation

A great deal of concern has developed at the state level for accountability in education. Mr. Jesse M. Unruh,[1] the speaker of the California Assembly, succinctly summarized the feeling - not only of some legislators but in many cases the public when he declared:

> In my judgment, well informed legislators, governors and administrators will no longer be content to know, in mere dollar terms, what constitutes the abstract needs of the schools. California educators have used this tactic with our legislature for many years with constantly diminishing success. The politician of today, at least in my state, is unimpressed with continuing requests for more input without some concurrent idea of the school's output. All of us concerned with education----educators, school board members, and politicians----need to understand and accept the fact that from now on in America the public will want to see results before it acquieces to new financing for school programs. Instead of fighting evaluation, let's see what we can do to improve and refine it. I am convinced that the end product will be increased financial generosity on the part of the public, and hence governments, towards public education.

Since state legislatures are responsible for establishing and operating statewide systems of education, legislatures need information about the effectiveness of their state program. The effectiveness of their state's efforts in education can be constantly improved. The question arises, however, as to how to go about such improvement. Currently, a great deal of emphasis has been placed on accountability, the comparison of input (finances) to output (accomplishment of educational goals.)

Accountability at the state level, or any level, calls for the development of some sort of system with a fairly high degree of standardization. The logical place to begin in planning for accountability is with the establishment of useful goals.

Establishing Goals

A statement of goals in education has in many instances become a trite, academic exercise. Stating goals has been regarded as necessary lip service before taking a previously determined course of action. Although this has been true of the past, establishing goals must be the essential first step in developing a system of accountability at the state level.

The establishment of goals is difficult. Traditionally, educators developed goals through professional committees. Often the statements failed to receive general support because they were considered biased, the work of a group with vested interests, or were considered impractical. As more and more segments of society become interested in education, they should be involved in helping to make educational decisions. Lay and professional people, involved in establishing the educational goals for a state, provide a firm base for support of public education.

Insofar as possible, goals should be specifically stated. It is much easier to focus opinion about a precise statement than a vague or general one. The degree of accomplishment can more easily be determined when goals are specifically stated.

A statement of goals should be worthy of the support of those who constitute the state's social and political power structure. Efforts to obtain such support should be expended.

Once goals have been established, the state board of education should publicize goals as statements of public policy. Only through such means can the state account for the expenditures of human and financial resources in terms of goal accomplishment.

In summary, goals are the essential first step toward accountability. The development of goals calls for a variety of personnel and skills drawn from all levels and from all areas of the state.

Assessment of Product and Progress

Having established the goals of education at the state level, data is needed to determine the degree to which the educational programs of the state are meeting the goals. In other words, state-wide assessment is necessary. There are inherent difficulties in assessment - but they must be overcome so that continuous assessment can provide the basis for future planning and accountability.

The purpose of a state-wide assessment program is to collect information which can be used in formulating plans and policies at the state level. This type of

planning permits study of the relationship of the product (pupil) to the established goals.

It must be remembered that state plans for accountability cannot be based on regional or national conditions. They must be based upon conditions existing within the state. Therefore, National Assessment cannot be relied upon solely to meet the planning needs of a state.

The actual mechanics of state assessment should probably be delegated to the state department of education since it has, or should have, the personnel, equipment and channels of communications to do the job. However, an alternative would be to contract with some other agency or group.

Assessment on a state-wide scale is needed so that the degree of goal accomplishment can be determined.

Planning

The information obtained through assessment should be carefully analyzed. Cause and effect relationships should be determined, weaknesses and strengths should be discovered. It is very possible that such an analysis should be undertaken by specialized personnel and consultants outside the state department of education. Such an arrangement would reduce bias and make for more objective analysis.

Once the cause and effect relationships have been as accurately established as possible, the development of alternative proposals for goal attainment can begin. One approach is that called planning-programming-budgeting-system, (PPBS). Some possible ways of accomplishing accountability on the state level follow:

The Systems Analysis Approach

Whether PPBS or similar techniques are used does not seem particularly important. What does seem of importance is that: (1) discovered strengths and weaknesses are determined as objectively as possible; (2) those factors judged to contribute to such conditions be identified; (3) research findings and informed opinion are used to formulate alternative methods of approaching the problem; (4) the objectives,

procedures, cost and personnel needed for each alternative are determined in detail; and (5) a decision is made as to the plan to follow.

State level accountability for education calls for the implementation of some sort of systems analysis at all levels of education. To be truly effective and to provide a framework for accountability a high degree of standardization in the mechanics of the system will be necessary. Standardization of mechanics does not rule out or inhibit local planning, programming, budgeting or choosing among alternatives. In many cases such an approach might encourage greater local participation in educational decision-making.

Accountability at the state level regarding the development of a state-wide systems analysis program is the responsibility of the state legislature and the state department of education. Without a systems approach extending from the local school district up through the state department to the legislature, accountability at the state level could not exist.

Such a program should be cooperatively designed by a cross-section of representatives throughout the state. Professional people, educators, lay citizens working with specialists and consultants could effectively design a model program.

In summary, a systems approach on a state-wide basis provides a framework for accountability. The system should be the result of a cooperative effort of representatives of the state, acting in an advisory capacity to the state legislature and the state board of education.

Instituting a State-Wide Systems Analysis Program

A state-wide program of systems analysis could probably be accomplished in most states in three to five years. A logical plan would involve four phases.

Phase one would be the planning and development stage which would call for broad involvement of representatives from throughout the state. Every effort should be made to have a truly representative body involved in the planning and development.

Phase two would encompass the operational testing and evaluation of the system. Enough districts would be involved to make testing and evaluation reliable and valid while at the same time keeping the number of districts to an efficient, workable size.

Phase three would be implementation. Final reports of phases one and two should be disseminated. In-service training should be undertaken. A review and modification of laws and regulations should be undertaken to facilitate the systems approach program. The last part of phase three would be state-wide implementation in those districts with trained people.

Phase four would be an operation year on a state-wide basis. The operation year should be followed up with a comprehensive assessment and refinement.

If the state is to be held accountable for the input and output in education it must have a system that provides for the analysis of the entire educational program and a method of choosing alternatives with varying price tags and varying degrees of goal accomplishment. Such a system should extend from the "top to the bottom." A systems approach seems to be a necessity.

Summary

In order to have state level accountability for education the state legislature, the agency responsible for the quality of the entire educational program, must be held accountable for state-wide: (1) educational goals development; (2) assessment of educational goals attainment; (3) planning as a result of goals and assessment; and (4) implementation of a systems approach.

No matter how the legislature sees fit to carry out its responsibilities, whether it delegates them to other state agencies, relies upon outside authorities, or takes the initiative and provides the actual leadership and direction for accountability, it is in the last analysis, responsible to the people of the state and accountable for the educational program of the state. Before the representatives of the people of the state can be held accountable for education there must be accountability "all along the line."

State Departments of Education

Since it is conceivable that state departments will be deeply involved in accountability, special emphasis has been given to some of the areas for which they might be held accountable. In addition many of the areas for which the state departments can be held accountable can contribute to the information needed by local districts in their programs of accountability.

Categories for Accountability

Following are the general categories of Information, Regulations and Leadership with subheadings indicating areas in which states should be held educationally accountable.

Information

Pupils. Our forefathers deemed it a necessity to educate their offspring, and from minute beginnings, we have developed a rather complex educational system. The primary interest of education must be the student. Therefore, the state must take definite steps in accepting responsibility for the education of all citizens in the state. States should be held accountable for:

1. Developing within students positive self-images.

2. Seeing that individual education begins at the level where the pupil is, and then developed.

3. Providing for teaching techniques which meet the individual needs of specific regions.

4. Providing for teaching which will motivate students.

5. Providing a quality education for every child, in order that he might possess at least the basic skills.

6. Putting more emphasis on specific skills at the elementary level - particularly in the areas of math and reading.

7. Seeing that every child has the opportunity to be his creative self.

8. Insuring that goals, objectives and programs meet the needs of children.

9. Compiling cumulative records of information concerning the family, attendance record, scholastic achievement (including standardized tests), school activities and the health record of pupils.

Staff. Leaders at the various levels of our educational system, from the superintendent to the classroom teacher, are becoming increasingly concerned with the attitudes as well as the educational training of local staff members. More and more teachers are being called upon to make contributions to the whole educational program. Therefore, individual states should be held responsible to local faculties and staffs for:

1. Involving teachers in the total programs of districts, with appropriate knowledge of goals and objectives.

2. Establishing in-service training at local, district and state levels.

3. Providing workshops, whereby a funneling of knowledge concerning various problems can be experienced.

4. Producing written programs for study and evaluation.

5. Listening to recommendations coming from local staffs; recognizing the importance of individual suggestions in effecting change.

6. Keeping local staffs abreast of policies recommended by the state departments of education, through publications and good public relations.

7. Working on improvement in teacher retirement plans.

8. Providing for professional leaves and teacher-exchange programs.

9. Implementing a Professional Teaching Practices Act.

Finance. One of the most pressing areas in which states must show accountability is the area of school finance. Local property taxes have carried the burden of education, but there must be much more legislation in the direction of the state assuring a wider tax base. States should be held accountable in the area of finance for:

1. Setting up budget units in regard to specific programs.

2. Helping support foundation finance plans.

3. Helping to work towards more uniformity in state support.

4. Supplying assistance to teachers in gaining a better understanding and greater knowledge of the financial affairs of their respective school districts.

5. Proposing multi-year financial plans.

6. Opposing use of funds for non-public education.

7. Setting up guidelines for accountability of professional activities and funds.

8. Equalizing tax bases.

Programs. Specific programs inaugurated by individual school districts are vital to the overall structure of the educational system. States must assume leadership in helping some of these local programs and projects to "get off the ground." States should be held accountable for:

1. Developing specific program studies.

2. Contracting with business firms to work with various districts in certain subject areas which will guarantee specified results.

3. Insuring specialists to guide various programs.

4. Upgrading methods of instruction.

5. Improving materials to meet the needs of children.

6. Coordinating library services throughout the state or region.

7. Establishing guidelines for evaluation.

8. Helping to develop programs which will accomplish specified objectives.

9. Helping to provide technological equipment for various programs.

Facilities. A sound instructional program is the key to the educational system, but the facilities for instruction also are most important. Buildings which are conducive to learning can certainly make teaching much more enjoyable as well as more effective. States should be held accountable for:

1. Setting standards for the use and safety of all school buildings.

2. Aiding districts when new facilities are needed, but local bond issues have been blocked.

3. Developing year-round school facilities.

4. Providing guidance by specialists in architecture and equipment-purchasing within specific buildings.

Regulations

Certification. Certification of educators is a major task of state departments of education. With some sort of nation-wide certification requirements, the job

could become less complicated and more refined. States should be accountable in the area of certification for:

1. Establishing uniform national certification requirements.

2. Extending reciprocity with all other states in certifying teachers for teacher-education institutions.

3. Requiring teacher-education programs that meet NCATE standards.

4. Serving as an information center in helping teachers to obtain certification within the local state, or in other states.

Accreditation. Accreditation is another area in which there should be national uniformity. States should be held accountable in accreditation for:

1. Requiring schools and teachers to comply with the National Council of the Accreditation of Teacher Education, in teacher colleges.

2. Requiring junior colleges and secondary schools to meet the standards of the North Central Association.

3. Requiring uniformity in standards of elementary schools.

Reorganization. The state must be responsible for the reorganization and unification of districts within its borders. Many states have already accepted this responsibility, and steps in the right direction are being taken. States should be held accountable in the area of reorganization for:

1. Speeding up school unification.

2. Providing state aid for transportation to unified districts.

3. Setting up regional laboratories of education.

4. Closing ineffective attendance centers.

5. Providing special counsel in helping break down barriers of class, region or tradition.

Leadership

"So goes state leadership; so goes the educational system of the state." These words could be frightening if individual states do not provide the proper leadership required of them in order to have effective educational systems. In the area of leadership, state departments of education should be accountable for:

1. Providing workshops in various areas, giving aid to boards of education, administrators, and classroom teachers.

2. Providing a variety of consulting specialists.

3. Providing aid in preventing and/or recovering from acts of vandalism and destruction of school property.

4. Providing for the education of the handicapped - visual, lingual, mental, physical or emotional.

5. Providing more vocational-technical schools.

6. Increasing opportunities in adult education.

7. Helping to establish more legal protection for schools and educators.

8. Establishing aids in the areas of:

   a. Drug abuse.
   b. Child abuse.
   c. The school drop-out.
   d. Other current social or economic problems which effect education.

Many of the challenges in the preceding pages have been met in various state systems of education. Other states are beginning to recognize their responsibilities. However, there is room for considerable improvement. As in all areas of public education, the determining factor for the role of the state in the field of education should be: "How may we best provide an educational program to meet the needs of individual children?"

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III. ACCOUNTABILITY IN EDUCATION AT THE LOCAL LEVEL

Hedderman, Dick, Chairman
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Burgess, Ron
Dick, Vernon
Lindeman, Jack
Mead, Ben H.
Skinner, Willis
Storey, Jim
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Finance

Taxpayers across the nation are saying "no" more and more to school bond issues and increases in mill levy proposals. One reason is that this is the only place the local citizen can slow down or fight higher taxes.

Accountability for school costs needs to be refined in terms of quality. For example, some taxpayer organizations try to evaluate quality in terms of money spent per student or per classroom unit.

Hansford and Smith had the following to say on costs and quality:

> In reality, the only true measure of quality is the product. Certainly there are many specific indices of quality, but too often one (per pupil expenditure) is accepted as the only criterion by which the educational program should be judged.[1]

This statement indicates that educators have not developed a means to measure costs and benefits in education with any degree of accuracy.

One method of increasing local economic accountability is through the concept of decentralization. The concept of decentralization is of special value when the budgetary power is decentralized. The control of school monies would be exercised at all levels to allow for the maximum utilization of the dollar in terms of the school's specific goals. By utilizing this method the systems approach could reflect how funds were actually spent and results could be determined.

One school district utilizing this approach is located at Darien, Connecticut. In setting up their system they followed four procedures:

1. Objectives were defined in order to bring accountability into the budget. These were set up by a series of citizen committees that determined broad objectives to be completed within a five-year period.

2. Accounting procedures were decentralized. Twenty responsibility centers were created which included each school building and each district-wide department. The center's Director prepared yearly budgets, made all cuts and acted as the one person directly responsible for the economic efficiency of his center.

3. The budget was decentralized in terms of the stated objectives and reorganized lines of responsibility. These finer units of accounting directly related the budget to the responsibility centers where the money was actually spent.

4. Annual operating priorities in terms of the five-year objectives were set up. Using the data available from the responsibility centers the priorities were realistically costed out showing the costs of achieving the goals.[2]

Each responsibility center's budget lists three types of costs: direct costs (expenses which the responsibility center head personally budgets and spends), indirect costs (expenses budgeted by a district-wide department but actually spent in the school building), and personnel costs (costs of salaries and fees for people physically working in the school building or in a district-wide department). These budget areas from all the responsibility centers are then compiled into one unit termed the budget handbook. With this document anyone can see what is being spent in a given area in a given school.

This type of decentralized budgeting system has shown merit in the Darien School System. As stated by the superintendent:

> The success of this new budget works two ways. Within the district, right on down the line, our people are directly accountable for the job they do. But by the same token, the school board - and the community itself - is also accountable. The community has told us where it wants to go, educationally; we tell the community, through the medium of budget, precisely how much it will cost to get there. After we have presented the budget, it's up to the community to put its money where its objectives are.[2]

Future

What of the future? (1) It seems almost certain that the use of program accounting will grow. The value of the information generated by program accounting is simply too great for the practice to be put aside. It is hoped that districts will give greater attention to the appropriate definition of programs, since up to now these have often been defined for the districts by the federal and state governments in the administration of their categorical aid programs. (2) The individual school will increasingly be used as the cost center. Many school districts are so big that district wide figures obscure too much of what is being done for individual students. On the other hand, the classroom, as a cost center, is too small and fragmented a unit on which to base a whole set of resource allocations decisions. (3) Insofar as individual schools become cost centers, principals will be given a certain measure of discretion on resource allocation within their schools.

At the same time, it would seem appropriate to establish "improvement goals" for each school. (4) There will be a growing inclination to use program accounting data to make cost-effectiveness studies. As this intensifies, the school districts will gradually move toward the more complete system of program budgeting, as outlined in Chapter 4.

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III. A. ACCOUNTABILITY IN EDUCATION AT THE LOCAL LEVEL

THROUGH SCHOOL EVALUATION

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Preparation

Without a constant program of self-evaluation and evaluation of the programs which educators advocate, education cannot know where it has been or where it is going.

One of the best methods of determining where you are going, is to have a formal evaluation of the school district. A formal school evaluation is usually conducted by the local school districts in conjunction with either the state departments of education or regional accreditation agencies.

One of the greatest values gained in school evaluation can be the involvement of lay people from the community. These people have many questions about the conduct of our educational system and through failure to communicate between school personnel and lay people, these questions may remain largely unanswered.

Every school system in the nation has some weaknesses which need to be remedied. However, because the school system has been relatively free of criteria, the school administrators and the instructors either fail to see these weaknesses or overlook them. Therefore, a feeling of lethargy spreads over the complete system from the administration through the students. Preparing for and participating in a formal evaluation involving people from outside the system will certainly result in an attempt by all members of the system to improve the situation, which in turn results in a better educational program.

Guidelines have often been set up but they sometimes fail to achieve the desired goal - improvement in education. One of the major causes of most failures is improper preparation for the evaluation on the part of the district. Other causes are negative attitudes on the part of those involved, the financial inability of a district to meet the needed improvements, or poor leadership in the school.

The following steps were developed to aid the administrator in evaluation.

Planning for the Evaluation

I. Have members from district participate in evaluation committees visiting other schools.

A. Administrators

B. Instructional staff

C. Board members

II. Print sufficient number of evaluation forms so everyone involved will be provided with instruments.

III. Call first general meeting.

A. Include representatives of cross section of the community.

1. Instructional staff

2. Uncertified personnel in school

3. Board members

4. Lay people

a. Include both those who are favorable and unfavorable to the school system.

b. Attempt to involve all segments of the society.

B. Discuss the evaluation instrument carefully and the purposes of the evaluation.

C. Have individuals study the school philosophy and objectives for possible revision as most school philosophies and objectives need to be revised periodically in order that they keep up with changing demands of society.

D. Have individuals take copies of the instrument and discuss it with other members of the community.

IV. Call second general meeting.

A. General discussion of instrument

B. Work on revision of philosophy and objectives

C. Break into small groups

1. Choose moderator

2. Start study of each specific point

3. Establish meeting times for the committee

V. School Administrator acts as coordinator of groups and also continues his preparation.

A. Compiles booklets of information, i.e.:

1. Resume of district
2. Staff and assignments
3. Class schedules
4. School calendar
5. Philosophy of education
6. Curriculum guide

B. Checks each item in evaluation instrument individually

C. Have small groups join together occasionally to discuss points and problems common to all

D. Stays in contact with State Department of Education or accredited agency rectifying deficiencies and double-checking certification standards

VI. Final general meeting prior to arrival of evaluation team.

A. Collects instruments from each group after final discussion

B. Notify all members of group of meetings to be held with evaluation committee

VII. Last minute preparations.

A. Compile self-evaluation instruments from all groups into complete copy

B. Double-check materials

C. Arrange for room to be used by committee and provide all materials pertinent to the evaluation there

D. Have a supply of coffee and rolls

III. B. ACCOUNTABILITY IN EDUCATION AT THE LOCAL LEVEL

THROUGH STAFF EVALUATION

Jorgensen, Spike, Chairman
Vickers, Gerald
Turner, Leo
Woodward, John
Schliske, Ron
Murphy, Gary
Woelfle, Don
Moore, James

This brief treatment is not meant to be an instrument of staff (teacher) evaluation. But, it is hoped that it will be of considerable assistance in setting up an instrument which can meet the requirements of your school.

Process

A total process and instrument(s) to be used can be developed by a total staff as a first step in bringing about meaningful evaluation and as levels of sophistication, and just as important - confidence, increase, individual instruments can be designed. To gain a meaningful process, it is necessary to establish certain conditions:

1. The purpose and process of evaluation must be totally understood and clear.

2. The teacher must feel certain and secure about his role in the evaluation process and more specifically that the process is not being used in some way to harm him or threaten his status.

3. The principal must not conceive evaluation as an inspectional and rating process.

4. Communication between the teacher and the principal must be adequate.

5. Both principal and teacher must put the emphasis upon what the teacher does or what he is supposed to do rather than upon his personal qualities and behavior.

6. Evaluation is as much as possible a cooperative, peer process wherein the teacher has a definite role to perform and the principal likewise.

If the staff member is involved in building the evaluation process and the specific instrument to be used, he will be well aware of what is expected of him, what type of measure will be used, the policies and philosophy of the system and be fully aware that he is free to function as a teacher. As he gains maturity in the system and as both principal and teacher gain experience in true evaluation, teaching and learning must improve.

Two factors, it would appear, govern the success or failure of an evaluation process:

1. Total staff involvement, without domination by either teachers or principal in planning the evaluation process and instrument.

2. Totally free and open communication between teacher and principal, both oral and written and complete candor in discussing the evaluation of teaching performance.

New Directions

With writers and authorities being critical of some past and current practices in teacher evaluation, these same critics must have something better to offer - a new direction to go.

One direction seems to be in the evaluation of the educational progress of the product - the child. Ingils[1] has suggested as a better method evaluating the attainment of educational objectives and the behavioral development of the learner. Fox and Jones[2] recommend another direction, that of "a plan for evaluation of teacher efficiency through cooperative goal-setting."

The evaluation of teacher performance on the basis of performance objectives would focus primarily upon definable segments of observable behavior - both of the teacher and of the student.[3] This then, would require the writing of performance objectives for the teacher and instructional or behavioral objectives for the student. The writing of performance objectives for teachers should be the result of cooperative efforts of the local school staff. This cooperative effort has long been recognized by the Association for Supervision and Curriculum Development[4] as a vital ingredient for the success of any evaluation program.

The structuring or restructuring of a learning situation in terms of instructional or behavioral objectives can be and is a difficult process and would probably require the using of a consultant. This process would take a considerable amount of time to complete and then in-service work with the staff would be necessary so that they will understand the new approach. Although this preparation of instructional or behavioral objectives may take considerable time, in the minds of some authorities, it seems advisable.[5]

The goal setting approach to teacher evaluation involves the teacher and administrator or supervisor establishing goals for the teaching assignment. Fox and Jones[2] suggest that these goals be written on a sheet of paper divided into three sections, and under the first section which would have the heading "Goals." Following the goals would be a column headed "Methods, Equipment, Facilities, and Special

Assistance," and finally the third column would be headed "Achieved and Unachieved Goals." The first two columns would be completed at an informal conference at the beginning of the school term and the final column at the end of the term. These conferences would not only assess the completion or non-completion of the goals, but would also be very valuable in identifying the various other needs of the school.

Job Description

It has been suggested by Redfern that professional growth and improved performance of the teacher can best be stimulated by an appraisal process which puts major emphasis upon a better definition of the teacher's job.[6] He points out that the nature and scope of the teacher's job is poorly understood by both the teacher and the administrator. He believes that teachers have not been made aware of the job expectations and that possibly many teachers have a restricted concept of the total requirements of their jobs. It is Redfern's belief that before effective appraisal can be made of teaching performance, the nature of the job should be clarified with expectations and requirements carefully delineated.

In industry, job analysis is that process which results in establishing the component elements of a job and ascertaining the human qualifications necessary for its successful performance.[7] The facts that are to be secured under the heading of "Description of Job" are those which tell the what, how and why of the job. The purpose of writing job descriptions and job specifications is to record the information obtained on each job in a standard fashion preparatory to rating or evaluation.

The following outline is suggested by Patton and Smith:[8]

Job Title
Job Purpose
Duties and Responsibilities
Experience and Educational Requirements

Another outline is as follows:

Job Title
Definition
Duties and Responsibilities
Knowledge, Skills and Abilities
Minimum Qualifications

Sample Job Description

Job Title: Classroom teacher

Definition: The classroom teacher is the instructor in the school and carries out the educational program according to his grade level or subject assignment. He teaches students in a self-contained classroom, departmentalized, team-teaching or some other type of organization depending upon the instructional program of the particular school.

Duties and Responsibilities: The main job of a teacher is to instruct the pupils and/or students that may be allocated to his teaching station. The teacher will guide the learning experiences of his particular students for the duration of the semester or term as determined by the school calendar. The teacher will be expected to share in the responsibility of selecting the materials of instruction. However, the teacher will have full responsibility for the methods, materials and teaching techniques to be used in each class. The teacher will be responsible for appraisal of individual progress and evaluation of each student. The teacher will work with students in the areas of skills, abilities and knowledge - but not exclusively. Interests, attitudes and concepts will also be developed. The teacher will uncover and develop many different kinds of special talent in individual students and at the same time discover areas of deficiency in need of remediation and re-teaching in other students. The teacher will endeavor to guide pupils in learning to think and learning to learn. The teacher will be expected to use democratic procedures and to develop good citizenship. The teacher is on duty prior to the beginning of classes and after the last class to give individual help as well as to prepare and plan. The teacher works cooperatively with fellow teachers, principal and supervisors to up-grade the instructional program. The teacher works with parents and the community to improve the total educational program for all children. Teachers with specific interests, ability,

knowledge and background may work with students in allied activities ranging from a special event for a club to competitive activities.

Knowledge, Skills and Ability: The teacher should have an adequate background to handle his particular assignment. Supporting areas may be supplemented with additional college work as well as in-service workshops to give added strength. Methods and techniques should be up-dated at intervals as required. The teacher should like children and have a real desire to teach as a prerequisite to beginning college work to prepare for the field of teaching. The teacher should have the ability to work with people with ease and confidence. A pleasant personality, a cheerful disposition and a sense of humor will be definite assets.

Minimum Qualifications: Four years of college leading to a Bachelor's degree with at least twenty semester hours in the field of education including student teaching. The teacher must be certified and have a specific endorsement for the particular area or subject to be taught. The teacher should belong to one or more professional organizations. Membership in local, state and national organizations is recommended.

In industry, it is stated that getting a job description into satisfactory shape takes care and time. It may have to be re-written three or four times. This would certainly hold true for a description in education because the job would be even more complex.

Principal-Teacher Relationship

In an item by the Wyoming School Boards Association entitled Better Than Guessing,[9] four specific points were discussed which indicated what the teacher expected of the principal. The teachers felt the first step in improving teacher-principal relationships was an adequate and thorough orientation to system as well as school requirements. Too often the orientation period of teachers is more getting them acquainted with people than the system and requirements. It is hoped that along with

the orientation of school policy, a guide of school policy be made available to the teacher. Many schools use an evaluation chart or list checked by the principal on the teachers. The proper orientation program should allow for discussion as well as a copy of the evaluation method by which the teacher will be judged. A thorough discussion should hold forth on the method of using the instrument within the school system. Another point of dissention seemed to be the fact that few principals offer any help to the new teachers in adjusting to the new building and system. The understanding principal will not only start the teacher off on the right foot, but be concerned enough to continue to counsel as well as have tenured teachers counsel the new teacher. Teachers even expressed a great desire to visit other buildings and associate with the teacher of the same grade or class.

Self-Evaluation

Not all authorities agree that self-appraisal is the answer to staff evaluations. Jarrett,[10] however, states that until evaluation becomes self-evaluation, at least to the extent of internalizing someone else's criticism, nothing very important happens.

There are three methods that can be used by the teacher in self-appraisal - video-tape, comparing selves with understood models, and systematic checklists.

Brook[11] discusses a method of using the teacher description-interaction analysis procedure. This procedure would establish teacher models within a school system. By establishing models within the system, other teachers would have models to compare themselves with. These models would not necessarily be at the top of a normal curve.

The most frequently used instrument used to evaluate others or oneself is the checklist. Samples of these instruments used in Wyoming schools can be found in the publication "Better Than Guessing" or "How We Evaluate Teachers."

An example of a self-evaluation guide is as follows:

Appraisal Guide

a. Do I make it a practice to involve students in all aspects of learning?

b. Do I have the patience and do I take the time to answer students' questions and reward student involvement?

c. Do I truly listen to others when teaching?

d. Do I provide opportunities for students to be different or disagree?

e. Do I have class periods full of opportunities for thinking and doing?

1. Learning is...an individual matter. You can't rush it, force it, or mass produce it. I agree with Alfred Whitehead's statement that one's education consists of all that is left over after the facts have been forgotten. Students must be active, must relate course content to previous experiences, and must manipulate content in their own way.

Appraisal Guide

a. Do I provide opportunities for students to study areas of their own interests within the confines of the course?

b. Do I over-rely upon machines or programs as substitutes for good human relationships?

c. Do I remember at all times that each student in class is an individual with unique interests, abilities, and needs?

d. Do I evaluate students on knowledge of concepts and generalizations as opposed to minute details?

e. Do I assist students in the process of assimilating information in relation to their past experience and knowledge?

f. Do I attempt to individualize some of the learning experiences of students?

2. Students are...unique human beings with their own individual needs, interests, and abilities.

Appraisal Guide

a. Do I pre-judge, classify, or stereotype students or do I respect each as a worthy individual?

b. Do I provide successful experiences in class for all students?

c. Do I set appropriately high goals and have reasonable expectations for all students?

d. Do I find a challenge in seeing measurable gains in all students?

e. Do I dislike certain students? Why?

3. Approaches to instruction should...be varied and professionally organized. Research shows that there is not one best method of instruction.

Appraisal Guide

a. Do I vary daily methods of instruction or do I overly utilize routine approaches?

b. Do I fully utilize all available reading materials, films, records, and machines in the teaching process?

c. Do I tap available human resources in the community for guest speakers?

d. Do I consider life outside the school as a learning laboratory and do I capitalize upon student experiences and excursions?

e. Do I try something instructionally new each year?

f. Do I exhibit professionalism (i.e., knowledge and organization of content, methodology and presentation skills, knowledge of the psychology of youngsters?)

4. Teachers are...effective because of what they are just as much as they are effective because of what they know.

Appraisal Guide

a. Do I truly like and appreciate young people?

b. Do I possess a real empathy or feeling for others?

c. Do I represent an authentic person (really myself) or am I playing with masks, roles, and status symbols?

d. Do I conduct my professional tasks with enthusiasm?

e. Do students and fellow faculty members find me an interesting person to be around?

The advantage of teacher self-appraisal is that there is no need to reach a consensus in regard to a universal scale. No doubt, classroom instruction could be significantly improved if teachers lived up to their own professional standards.

Instructional Competence

While evaluation should not be designed for the purposes of merit pay, verification of unsatisfactory performance to support termination, nor to identify the person to be promoted, it can be used for supportive evidence. It is to the benefit of all concerned if the evaluation process is thought of in terms of "observing-diagnosing" and "coaching" rather than "observing-rating" and "umpiring."[12]

Dr. Redfern[12] expressed the objectives of teacher evaluation in the following way:

Objectives. What specific objectives does the evaluation process hope to achieve? It strives to accomplish the following objectives:

1. Clarify the performance expectations of the individual, i.e., make duties and responsibilities more clear.

2. Establish both short and long term work goals.

3. Bring about a closer working relationship between the appraisee and evaluator.

4. Makes evaluation relevant to on-going job performance.

5. Establish "ground rules" or plans for both the appraisee and evaluator to follow-up on "target" achievement.

6. Keep good records of class visitations, follow-up conferences and other appraisee-evaluator contacts.

7. Assess results of job performance both by means of self-appraisal and evaluation by the evaluator, i.e., make it a cooperative process.

8. Conduct a good evaluation conference.

9. Establish appropriate ways for follow-up of actions needed for further improvement.

10. Keep evaluation a dynamic process; assess its effectiveness periodically; revise it as necessary.

Redfern[12] suggests evaluation forms meet the following requirements:

1. Simplicity
2. Fit your situation
3. Minimum of paperwork
4. Means not an end in itself
5. Teacher should have copy of all work pertaining to him
6. Space for general areas
7. Space for specific targets
8. Show extent of accomplishment
9. Provide for appeal procedures

Redfern[13] gives the following example of what written performance areas concerning instructional skills might look like:

Instructional Skills

1. Planning and organization (Degree to which instructional program is carefully planned and efficiently organized)
2. Appropriateness of materials (Compatability of instructional materials with courses of study; adaptation of materials and methods to levels of learning ability of pupils)

3. Resourcefulness and adaptability (Capacity to use creative methods and procedures; ability to adapt to unusual situations)
4. Ability to motivate (Evidence of skill in drawing out pupils and getting them to achieve at their level of ability and potential)
5. Observable skills (Art of questioning, clarity of assignments, reaction to pupil response, utilization of interests and contributions of pupils)
6. Parent relationships (Skill in working with parents)

Flanders[14] developed a method by which teacher behavior in the classroom may be studied. It is based on the assumption that a teacher can be helped to define more accurately his own concept of desirable teacher behavior and to modify his behavior in that direction. His instrument is called interaction analysis. This method divides classroom time into three types of interaction: teacher talk, student talk, and silence or confusion. He has devised steps designed to affect teacher behavior changes.

The following three pages are copies of one of several samples of teacher performance evaluation forms that have been prepared by Redfern.[12] They are not presented as being the exact form that should be used by any one school system, but rather as an example of what a performance evaluation form might be. The completion of this form involves the effort of both the evaluator and the teacher. It includes the check-rating method for the general performance areas along with individual specific target areas that are cooperatively selected by both the teacher and evaluator. The target areas are both check-rated and summarized in paragraph form by the teacher and evaluator. The third page is a summary of the contacts that the evaluator has made with the teacher throughout the year.

11

MIDDLEBURG PUBLIC SCHOOLS

Appraisal Report

Copies
White - Appraisee's
Green - Evaluator's
Yellow - Personnel Dept.

Appraisal Status

___Year of Serv.
___Type Contract

Name_____

School/Office_____

Grade/Subject/Position_____

Name of Evaluator_____

Position of Evaluator_____

Current School Year_____

Evaluation Code

O - Outstanding Perf.
S - Satisfactory Perf.
M - Marginal Perf.
U - Unsatisfactory Perf.

Columns:

I - Self-appraisal
II - For Evaluator

Part I. General Evaluation of Overall Performance Effectiveness (to be filled out by Appraiser)

MAJOR AREAS OF RESPONSIBILITY	Evaluations: Column I				Evaluations: Column II			
	O	S	M	U	O	S	M	U
Professional Training								
Teaching Skills								
Management Skills								
Staff Relations								
Parent Relations								
Pupil Relations								
Professional Relations								
Physical-Emotional Health								

Part II. Specific Job Targets (Specify specific performance objectives upon which major emphasis will be put)

TARGETS (Objectives)	O	S	M	U	O	S	M	U

Part III. Summary Statement of Appraisee (general reactions to appraisal process and extent to which achievements were/were not made during year)

Part IV. Summary Statement of Evaluator (rationale for evaluations given in Part I and II)

Evaluation based upon:

_____Visitations _____Conference

Signatures

Appraisee_____ Date_____

Evaluator_____ Date_____

(Signature indicates completion of appraisal process; not necessarily consensus)

Name of Teacher_____School_____Grade/Subject_____

SUMMARY OF CONTACTS WITH TEACHER

(This form is to be used to record a resume of appraisal contacts made with teacher.)

I. Dates of Visitations/Contacts:

II. General Statement of Problem: (including strengths and weaknesses)

III. Summary of Help Given:

IV. Recommendation:

V. Refer to Appraisal Review Committee _____Yes; _____No

VI. Signature of Appraiser_____ Date Submitted_____

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IV. ACCOUNTABILITY IN EDUCATION

P.P.B.S.

Roberts, Julian, Chairman
Hughes, Udell
Calderon, Haim
Christensen, Stan
Severin, Bill
Hardy, Charles
Wymore, Dick
Bretz, Ron
Jensen, Merritt

The PPBS approach is one of numerous management techniques now being studied in the educational field which utilizes a systems analysis concept to determine the relative cost and effectiveness of various operational methods. PPBS includes four major phases: planning, programming, budgeting, and evaluation. The primary goal and function of this system is to rationalize policy making by providing data on the costs and benefits of alternative ways of attaining proposed objectives and output measurements to facilitate the effective attainment of chosen objectives.

The program budget is significantly different from the traditional budget which is used most universally by school systems across the country. The traditional budget is organized around a line-item system which focuses on costs or expenditures, whereas the program budget is organized around a chosen program structure and is basically output oriented.

The history of this approach may be traced back to its use in the industrial field. Some studies were conducted in public administration as early as 1930, and numerous businesses and government controlled factories utilized this concept during World War II. In 1949, a study of performance budgeting was conducted by the Hoover Commission for Reorganization of the Executive Branch of the Federal Government. The most intensive and original application of PPBS was made under military auspices, particularly at the Air Force sponsored Rand Corporation. Mr. David Novick of the Rand Corporation recommended program budgeting to the Air Force as early as 1953, but it was not until 1961 when the United States Government, under Secretary of Defense McNamara, incorporated the PPBS concept in the choice and design of a highly sophisticated weapons system.

So successful was this technique in analyzing the nation's military policies, that in the summer of 1965, President Johnson issued an executive order to the effect that from then on PPBS would be used in evaluating programs by all federal offices and agencies. The result of this action was that the systems approach has been established as a matter of national policy.

The success of PPBS in the governmental and business world has aroused educators and stimulated a massive attempt to bring education into a cost-benefit oriented organization. The American School Business Officials group in conjunction with the United States Office of Education and the Dade County, Florida, school district presently are developing a PPBS model to determine its feasibility in public education. The state of California, and the Rand Company are examples of a governmental unit and a private endeavor that are experimenting with PPBS today. Thus it is quite obvious that the trend to a systematic approach to public education is real and one of the most important innovations in school organization for the future.

Implementation of PPBS

The first requirement for implementing PPBS into any school system is commitment. Commitment from the School Board through the entire organization. The total school organization must be committed to the concept of PPBS if it is to be successful. After the commitment, the following steps are needed to implement the system.

The first task is to identify the various educational programs. Programs are clusters designed to achieve specific objectives. The ultimate in PPBS will be to plan, program, analyze, evaluate, and budget for specific objectives. While PPBS is not a step-by-step procedure per se, for the purpose of illustration a step-by-step approach in describing PPBS will be used.

Step 1. State measurable objectives and measurable planned accomplishments for a given school, subject, courses, and activities over a time dimension - five years.

Step 2. Assign priorities to the various objectives of school, subject areas, courses, and activities.

Step 3. Determine alternative plans for achieving the objectives expressed in Step 1 above. Alternative plans should be expressed in terms of inputs and processes over a time dimension.

Examples of input are: teachers, including the number, professional preparation, experience, and faculty mix; pupil-teacher ratio; number of classrooms, library; curriculum, etc.

Examples of processes are: methodology of instruction, length of periods and school day, research and development, in-service training, assignment of teachers, etc.

Step 4. Assign a dollar estimate to the various alternative plans based upon the input and processes of those plans. The dollar amounts should be expressed over a multi-year period.

Step 5. Select, within dollar constraints, those alternative plans that appear to foster efficient and effective accomplishment of the predetermined objectives.

Step 6. Place the system in operation - that is, the input and processes that have been determined and budgeted.

Step 7. Analyze and evaluate the output of the school, subject areas, courses and activities. This is to say, evaluate how well the objectives of the school, subject areas, courses, and activities are being met. Following evaluation, it may be necessary to change the input and processes, hende, next year's budget, to better achieve the objectives set forth.

Step 8. Review the stated objectives set forth in Step 1. This review could result in changing the previously stated objectives, reordering the priorities assigned to previously stated objectives or continuing to utilize the previously stated objectives and their respective priorities.

Step 9. Review and prepare continuously alternative plans (input and processes) in search of a more efficient and effective means for achieving the stated objectives.

Step 10. Return to Step 3 and restart the cycle. The cyclical nature of PPBS provides an on-going decision framework.

Planning may be defined as the process of guiding internal change to keep up with the environment of which it is a part. Therefore, it means eventually

deciding what needs to be done, how it is to be accomplished, when and by whom.

The first step in planning is the establishment and organization of a task force for planning. This should be a broadly based representative group of people whose basic task should be the identification of both long and short term needs, problems, and resources. It is absolutely essential that the needs and problems of the educational system be determined before any goals are established. To do this, it would also seem essential that some form of a management information system be set up to provide information concerning finances, staff, program, buildings, and pupils.

Once the needs and problems have been established, the process of goal formation can begin. In the planning stage, we are concerned only with arriving at broad objectives. Following the formation of objectives, which will have to be analyzed, priorities will be established for relating the goals to the resources available, and then the short and long term goals can be selected. Resources would include people, materials, values, time, environment, etc. Following the determination of the goals, broad statements of responsibility can then be made.

Eventually, these recommendations have to be transmitted to the Board of Education for their adoption and then communicated to all affected by the decision.

Programming

The curricular programs of a program budget constitute an important part of educational productivity. There are four general categories for formal school organizations. The first is productivity. The second outcome is organizational integration, which is the meshing of the needs of the individuals and of groups within the organization to organizational goals and the linking of the individuals and/or groups to the pursuit of these goals. Third is organization health which describes the ability of the organization to maintain itself in a dynamic state with purpose. Fourth is evaluative or feedback, in which the organization assesses the input and values of its products, services and other activities.

Program budgeting relates the output oriented programs, or activities to specific resources that are then stated in terms of budget dollars. Both the programs and resources are projected for several years into the future. Emphasis is upon outputs, cost effectiveness methods, rational planning techniques, long range objectives and analytical tools for decision making.

In conclusion, a program budget contains categorization by programs, grade-level functions, outputs or activities. It is where the planned goals are related to specific programs and inputs are related to outputs by lines of action that may or should include immediate, intermediate and long range objectives.

Budgeting

Essential to the success of the budgeting process is access to vital information. If sound decisions are to be made in the selection of program alternatives, data must be available for analysis. Two factors which will be critical in the analysis and will influence the selection of alternatives are: (1) costs of programs that represent alternative ways of achieving stated objectives and (2) effectiveness (outputs) relative to the objectives of various programs.

Since present state and federal regulations require accounting by the line-item or function-object classification system with minor revisions in the present system, it may possibly serve a dual purpose: first, retrieval of data for reporting by line-item classification as is presently required, and secondly, retrieval of data in terms of program costs. Many school systems presently operate under a program accounting system and in these schools, no change may be necessary.

In converting to a program budgeting system of accounting, consideration should be given to the following tasks:

1. Assignment of codes to facilitate identification of programs and sub-programs.

2. Coding of present line-item accounts to provide for assessment and retrieval of costs in terms of programs.

3. Revision on present billing procedures to facilitate assessment of direct program costs.

4. Establishing a system for computing and allocating resources by programs.

5. Definition of direct and indirect program costs.

PPBES - A Partial Model for its Application to the Education Process

PPBES is recognized as a dramatic change in the methods presently being used by most school administrators in administering school programs. Admittedly there is a certain amount of planning, programming, budgeting, and evaluating currently going on in the operation of school programs; but most of this is done in a haphazard manner, with each new day bringing on a new crisis that requires new procedures for handling.

PPBES is important to education in that it is a systems approach and provides a method by which events are anticipated before their occurrence and methods of control can be planned in a calm atmosphere of reason; not in the chaos of crisis. Emphasis can be placed on action rather than reaction. An indirect benefit of PPBES is that it requires a working knowledge of other management science techniques in order to apply the concept and keep it operational.

In order for the administrator to cope with the complexities of the systems approach he must become familiar with such techniques as:

-- PERT/CPM, a technique for diagramming a series of complex related events in order to chart progress, discover bottlenecks and provide for a shifting of resources to meet a time schedule.

-- SIMULATION, a process of experimenting with alternatives through the use of models in order to plan a final course of action.

-- WAITING LINE or QUEUING THEORY, a process for dealing with the use of facilities, when the demand for the facilities comes in uneven spurts.

-- COMPETITION MODELS, the use of probability theory in the analysis of models competing for resources.

-- INFORMATION THEORY, a method for analyzing the effects of such factors as timing, noise and feedback in a communications system.

-- DYNAMIC PROGRAMMING, a process of analyzing the effects of past related decisions by working backwards from the last point to the first point in a sequence of decisions.

As a school system moves toward a Planning, Programming, Budgeting and Evaluation System it will be making a mistake if it ignores other techniques common to management science. If it is to provide maximum benefits PPBES cannot be separated from management science.

Not only will changes in the techniques of management be necessary for the application of PPBES, it will also be necessary to employ management specialists, perhaps with an education background, in certain areas of the system. In a study by O. A. Hamilton, Jr., Thomas E. Higgins and Dr. C. Lee Eggert, University of Florida, a school (or cost center) business manager was suggested in order to achieve the full benefits of management systems such as PPBES. The place of this specialist is shown on an organization chart, taken from their study, in Schedule #1.

Their concept of school business managers is currently in an experimental stage in the Duval County, Florida, school system. The use of such a specialist should provide a school system with greater accountability, take much of the paper work requirements away from the principal and thereby allow the principal time to participate in the planning, programming, and evaluation processes.

Of prime importance is the using of management science techniques such as PERT/CPM in the development of PPBES for school systems. The complex series of activities and events, the length of time required for implementation, and the vast resources necessary makes development an almost impossible task without such techniques. Schedule #2 is a proposal of a simplified model for using PERT/CPM in the implementation of PPBES. This model only schedules activities and events until the operational phase is reached. It must be realized that this will only get a school system to the point where PPBES can be used. An open end PERT/CPM network should be developed for the continuous planning necessary under the system. It may also be necessary to have individual networks for activities and events within the overall network. As an example, a PERT/CPM network for the evaluation of current programs may be beneficial.

The MIS (management information system) necessary to supply pertinent information for the implementation of PPBES may require some basic changes in the school systems accounting procedures. Because of the traditional line-item approach to budgeting and accounting information concerning the cost of current school programs may not be available. A program costing system as shown in Schedules #3 and #4 may have to operate for a year or more before an evaluation of the cost of current programs can be made. This evaluation must be made before planning the programs for PPBES. School systems that go to budgeting and accounting for programs should be careful not to get locked into this position and call it PPBES.

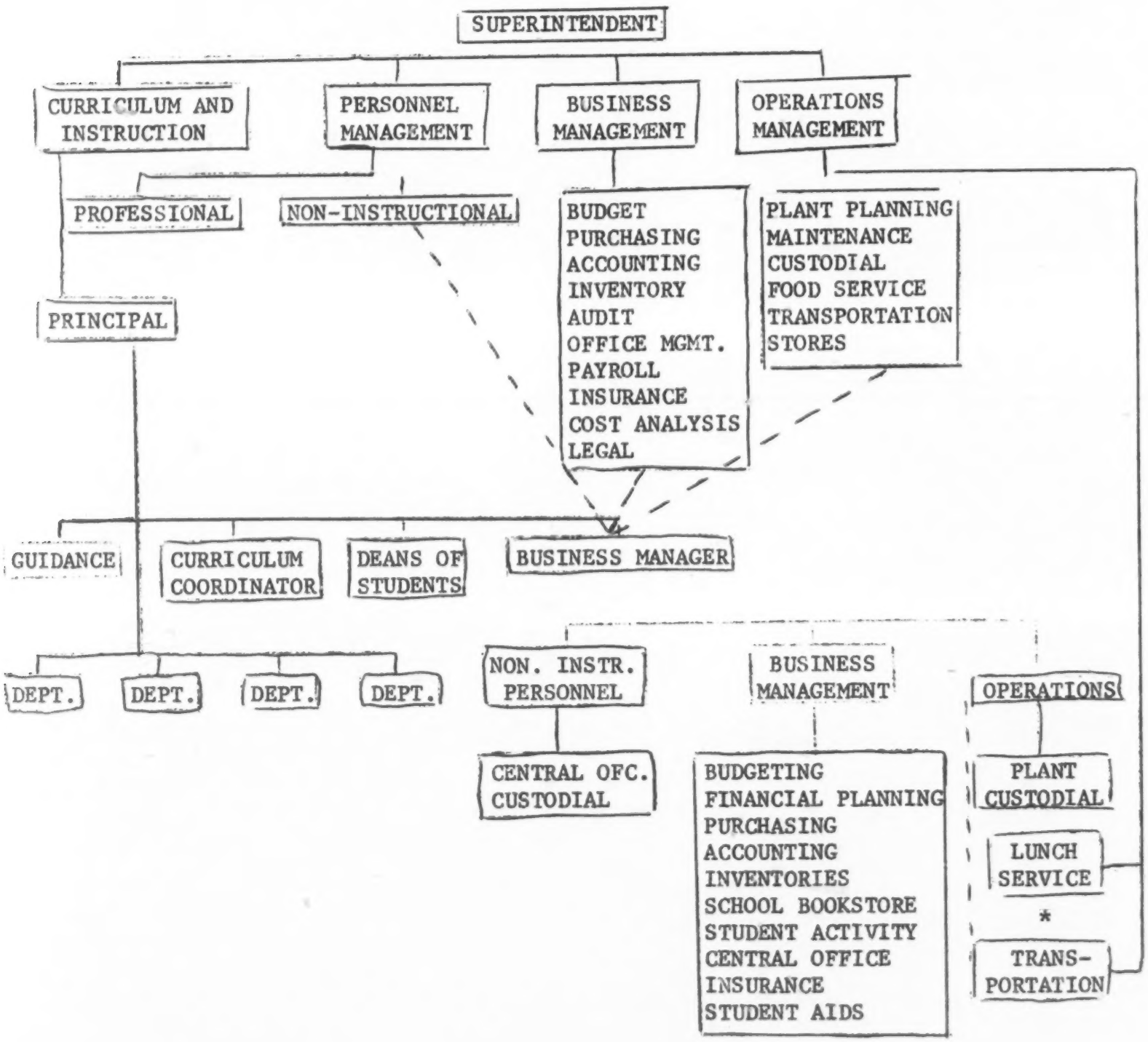
One of the most difficult phases of implementing PPBES is the evaluation of alternative programs available to achieve the objectives established for the school system. The method shown in Schedule #5 certainly is not a solution to the problem of selecting among alternatives but only suggests a basic procedure that may be used in organizing for this analysis. The first phase of this process is the listing and identification of alternatives. The second phase involves an analysis of alternatives on the basis of inputs (-'s) and outputs (+'s) and weighing the alternatives on the basis of this analysis. The use of a simple formula in this procedure is recommended to obtain a ratio of cost to effectiveness. In phase three the selection of alternatives based on the cost-effectiveness ratios are ranked. This would be a simple process if it were not for the effects that can only be measured subjectively. Alternatives with both objective and subjective benefits may be dealt with by assigning a certain value to each and building this into the analysis formula.

The product of this complex process of evaluating alternatives will be programs and/or sub-programs which are designed to meet the objectives of the school system. Schedules #6 and #7 offer examples of programs that might come from such an evaluation. Schedule #6 treats programs as disciplines. This is the way programs are invisioned in most school systems today. The programs (and sub-programs) offered in Schedule #7, although a slight departure from the regular, relates the programs more directly

to the role of public education as it is seen today. Even though this program arrangement may be more difficult to evaluate, compared to one built strictly around disciplines, it (or others) departing from this traditional discipline approach should not be overlooked if they best meet the stated objectives of the school system. Too much work has gone into the implementation of PPBES at this point to attempt to simplify the process here.

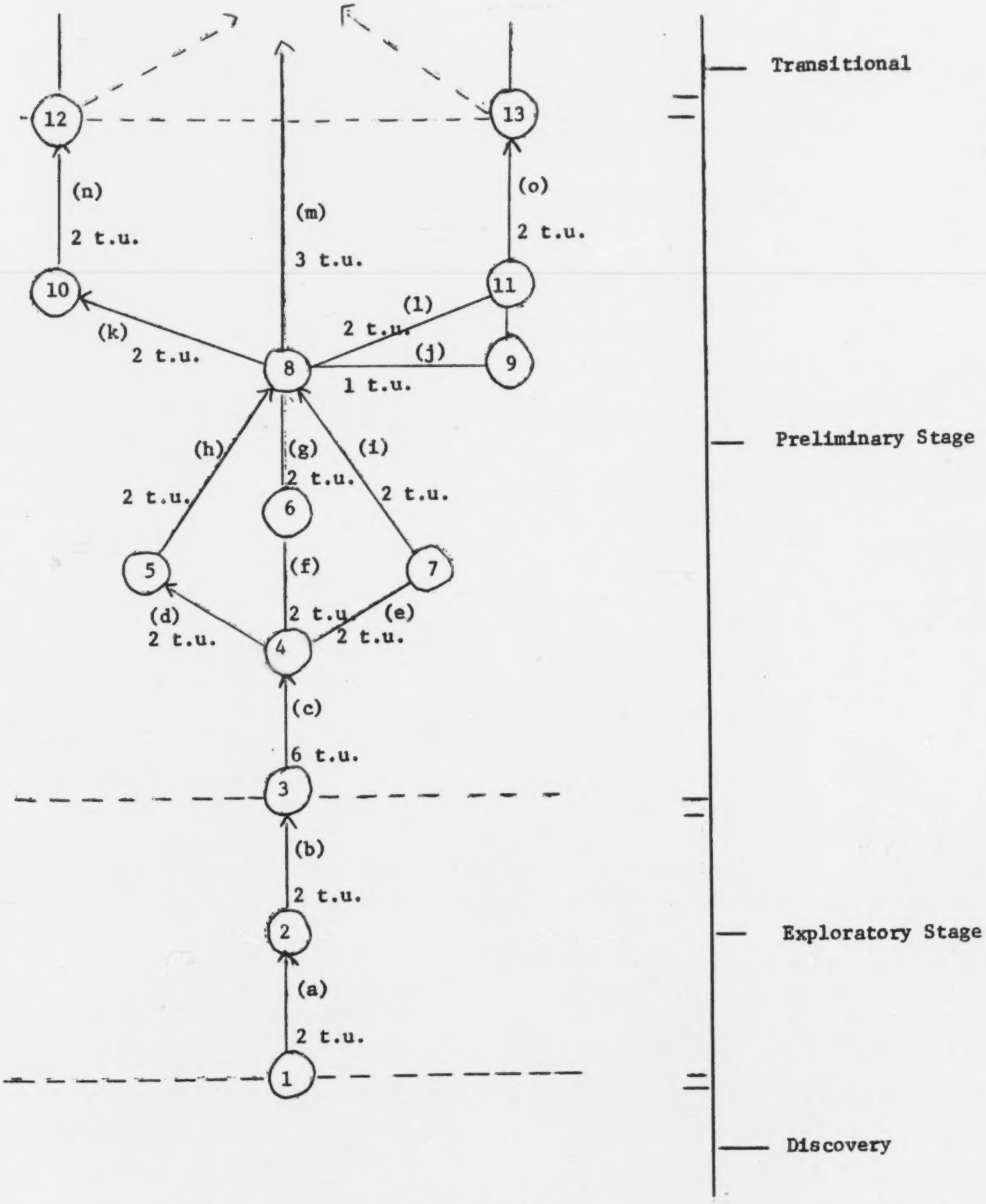
PPBES is not a simple approach to the needs of education. It may shortly be outdated by other management techniques. An administrator who treats PPBES, or other systems approaches, as simple may find that the first product of the system may be his position being phased out of the school system.

Schedule #1 - Organization Chart for a School or Cost Center Business Manager
(A proposal by Dr. Lee Eggert, O. A. Hamilton, Jr. and Thomas Higgins, University of Florida.)

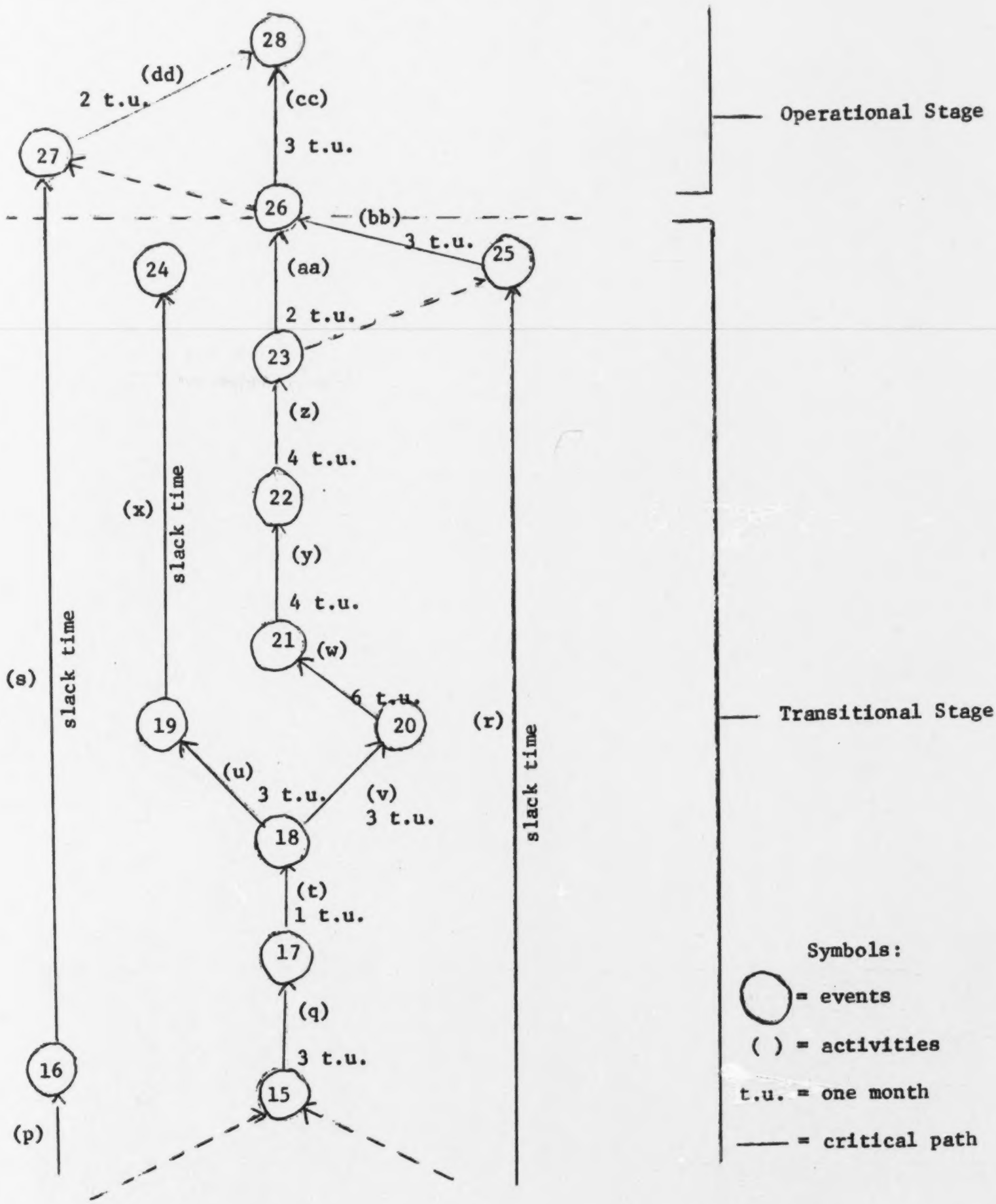


* Lunch service and Transportation under County contracted system - Duval County, Florida.

Schedule #2 - PERT/CPM applied to the Implementation of PPBES



Schedule #2 (Cont.)

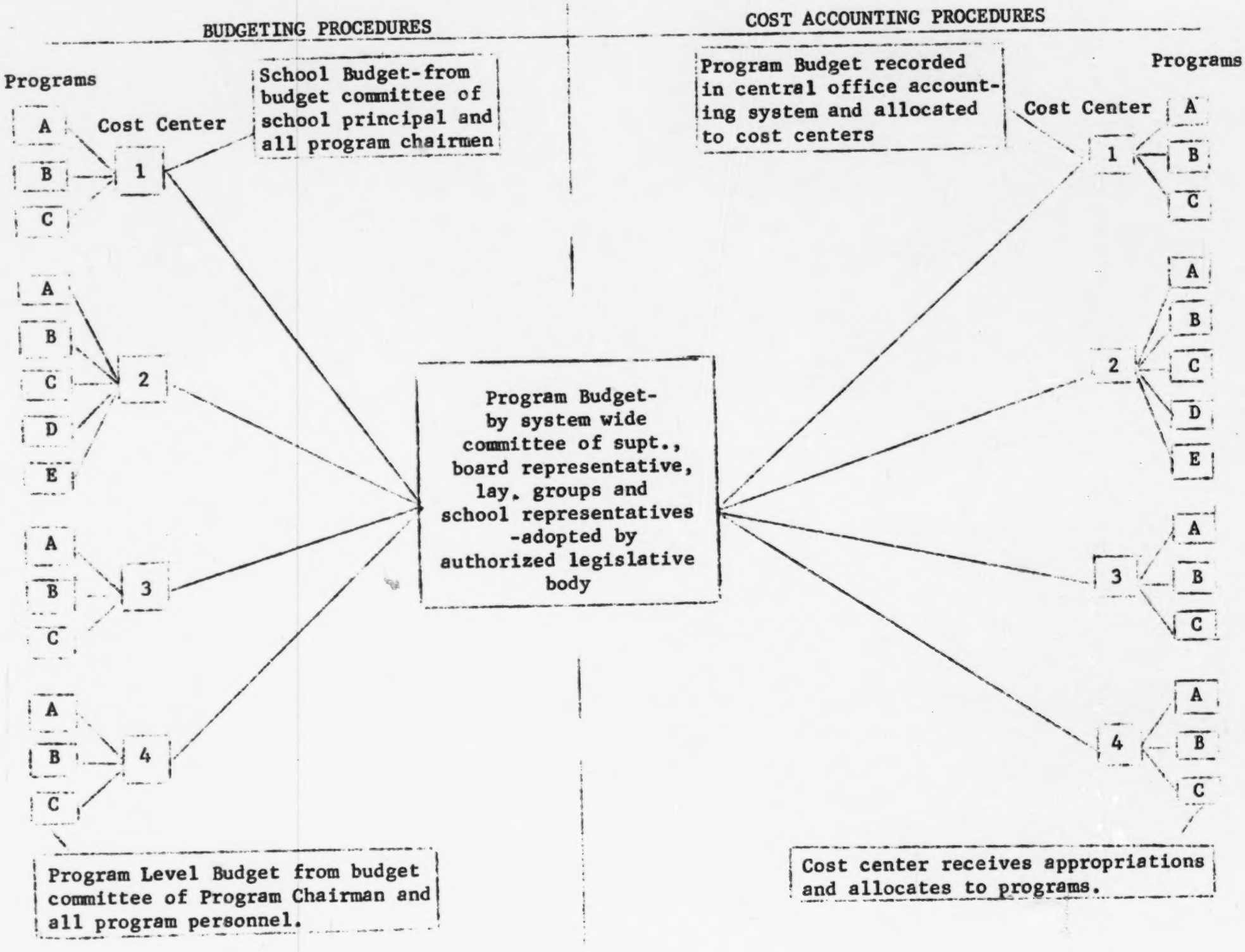


Explanation of Events and Activities

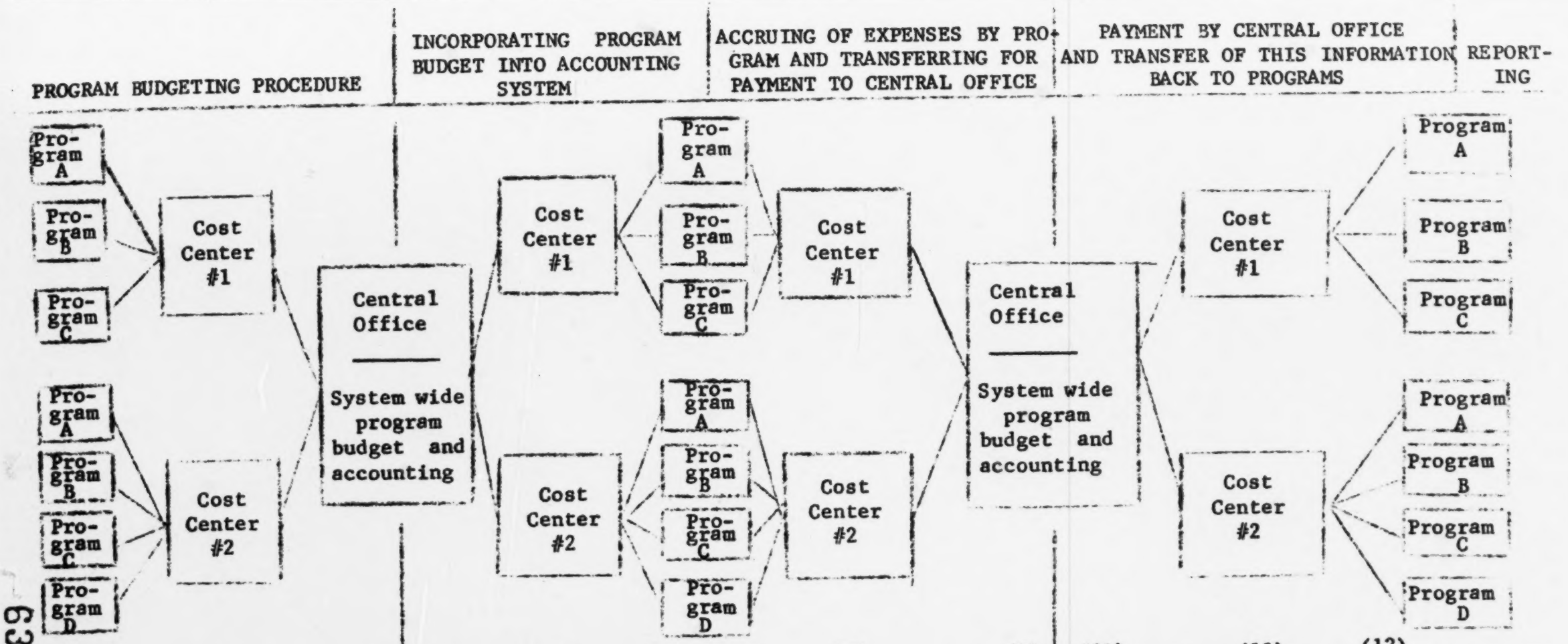
In an effort to improve the quality of the programs offered in his school system and to provide for a more precise means of accounting for the districts education efforts the Superintendent of the school system began a personal evaluation of the system and began a search for methods by which he could attain the systems goals. After much study the Superintendent concluded that PPBES could be the answer to his desires (1). He called several of his administrators in and together they went through the same process (a) and summed up their efforts with a written evaluation of PPBES as it related to the school system (2). They conferred individually with the members of the board of education concerning their findings and at the next board meeting presented the report formally to the board (b). The board accepted the written report, accepted a budget for the development of PPBES and gave the Superintendent authority to proceed (3). During the next six months the Superintendent and his top line administrators worked toward a self training program, securing consultants, and obtaining commitments from a limited number from the community and teacher ranks for the initial phase of the program. The board was consulted on the securing of lay people to participate in this initial effort (c). Training sessions were scheduled first with all participating in a large group (4). Then the lay citizens, teachers and administrators broke off (d)(e)(f) into groups which involved further training (5)(6)(7). It was planned for the small sessions to bring out questions that might not be asked in the combined session. After the training (g)(h)(i) the group combined again to develop plans for the initial development of PPBES. The group split into three groups, with a number of lay citizens, administrators and teachers on each group. The Superintendent in charge of curriculum was assigned the tasks of working toward goals, objectives and programs (m). The Superintendent of Finance and the Business Manager were assigned the task of developing a Management Information System and a Cost Accounting System (1) and the Superintendent assigned himself to a steering committee to oversee the entire project and assist the other

participants where help was needed (k). The large group decided to survey the community for general reaction to school programs (j). When the results (9) were obtained the survey was incorporated into the management information system. The steering committee began working on a PERT network (n) and formalized this in (12). The committee developed a management information system and prepared for the dissemination of the information (o). They began dissemination shortly after (13). With these phases completed the committee on goals was ready to begin work.

After receiving the PERT chart from the steering committee and information flow from the management information system the main committee (on goals, objectives and programs) begins work (15). An evaluation of current school programs (q) begins and a report on the findings is issued (17). The steering committee continuously evaluates the progress of the project (p) and issues reports (16) as the project proceeds. The goals committee selects an "executive" committee that will coordinate the split into a division of tasks (t). The group then splits into a committee for systems analysis and a committee on goals and objectives (18). A thorough study of systems analysis begins (u) and goals are studied (v). The committee on goals issues its report (20) and the committee on systems analysis issues its report (19). The steering committee keeps continuous watch over the project (s). Information continues to flow to all groups (r). After the goals are established the commitee begins working on objectives (w). This process is completed and reported on (21). The committee begins the process of studying alternatives that meet these objectives (y). The committee on systems analysis begins a study on applying their findings to the findings of the committee on goals and objectives (x). The goals committee issues an evaluation of all alternatives (22) and then begins the process of developing program structures (z). They issue a report on programs developed (23). The committee on systems analysis issues its final report (24). An accounting system for programs is completed (25). The budgeting process begins (aa) and is completed (26). The steering committee issues its final report (27). The accounting system is activated (bb), operations begin (cc) and observed (dd). After a year's operation an evaluation is made and the process recycled if necessary (28).



Schedule #3 - Program Costing System for Budgeting and Accounting



(1) Each program submits its budget to cost center.
(2) Chairman of each program meet as a committee to compile program budgets into a program budget by centers. This is submitted to central office.
(3) Central office accepts budgets for each program (compiled into a cost center budget) and submits to legislative body for approval.

(4) When approved budget is entered into central office summary accounts and to cost center subsidiary accounts.
(5) Cost center picks budgeted amounts up by transfer voucher and records in cost center summary accounts and subsidiary program accounts.
(6) Each program account properly recorded along with proper notification to programs.

(7) Expense by programs incurred.
(8) Cost center records obligation on program and cost center summary accounts and transfers (by transfer voucher) the obligation to central office.
(9) Central office receives transfer voucher and makes payment.

(10) Central office notifies cost center payment has been made.
(11) Cost center receives verification of payment-matches with transfer vouchers and makes any adjustments necessary (in case of encumbrance variation).
(12) Reports from programs prepared (example-budgeted amounts compared to actual expenditures) submitted through cost center (where compiled) to central office.

Schedule #4 - Budgeting and Accounting Cycle for Costing System

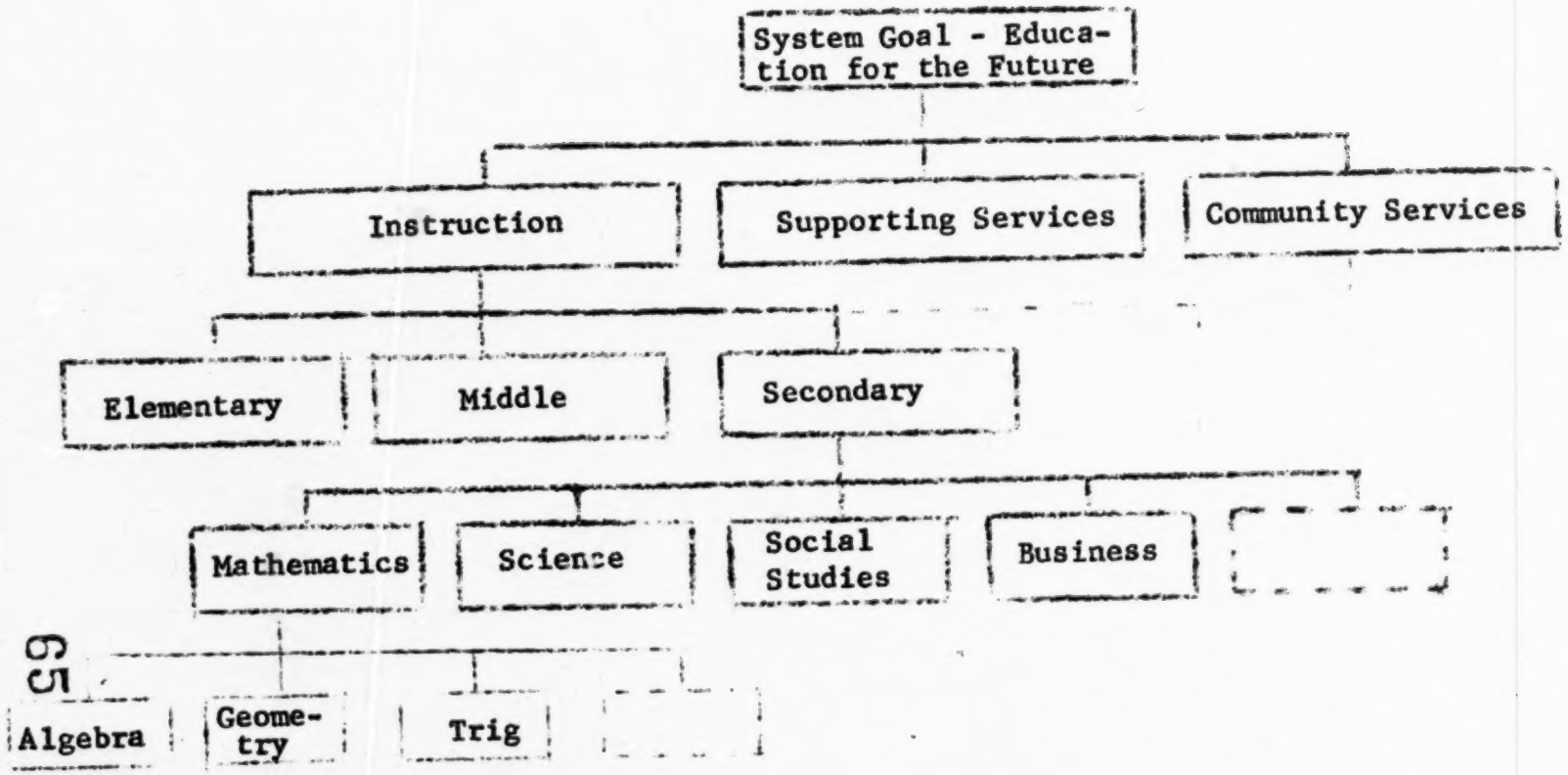
Schedule #5 - A Systems Approach for Evaluating Alternatives

Phase 1	Phase 2		Phase 3
List and Identify Alternatives	Analyze Alternatives on the Basis of Inputs and Outputs and Rank Alternatives		Select Program From Alternatives on Basis of Ratio of Cost to Effectiveness
a^{10} a^{9} a^{5} a^{4} a^{3} a^{6} a^{7} a^{1} a^{2} a^{11} a^{12}	inputs (-'s) outputs (+'s)	a^{4} - 2.9 a^{10} - 2.6 a^{5} - 2.1 a^{3} - 2.0 a^{2} - 2.0 a^{7} - 1.9 a^{8} - 1.6 a^{1} - 1.5 a^{6} - 1.4 a^{9} - 1.3 a^{12} - 1.0 a^{11} - .8	a^{4} a^{10} a^{5} a^{3} a^{2} a^{7}

Simplified formula for ranking alternatives (based on a scale of 1 - 10)

$$\frac{\text{Outputs}}{\text{Inputs}} = \text{value assigned}$$

$$\frac{\frac{\text{Objectively measurable outputs} + \text{subjectively measurable outputs}}{2}}{\text{inputs}} = \text{value assigned}$$



level - 1

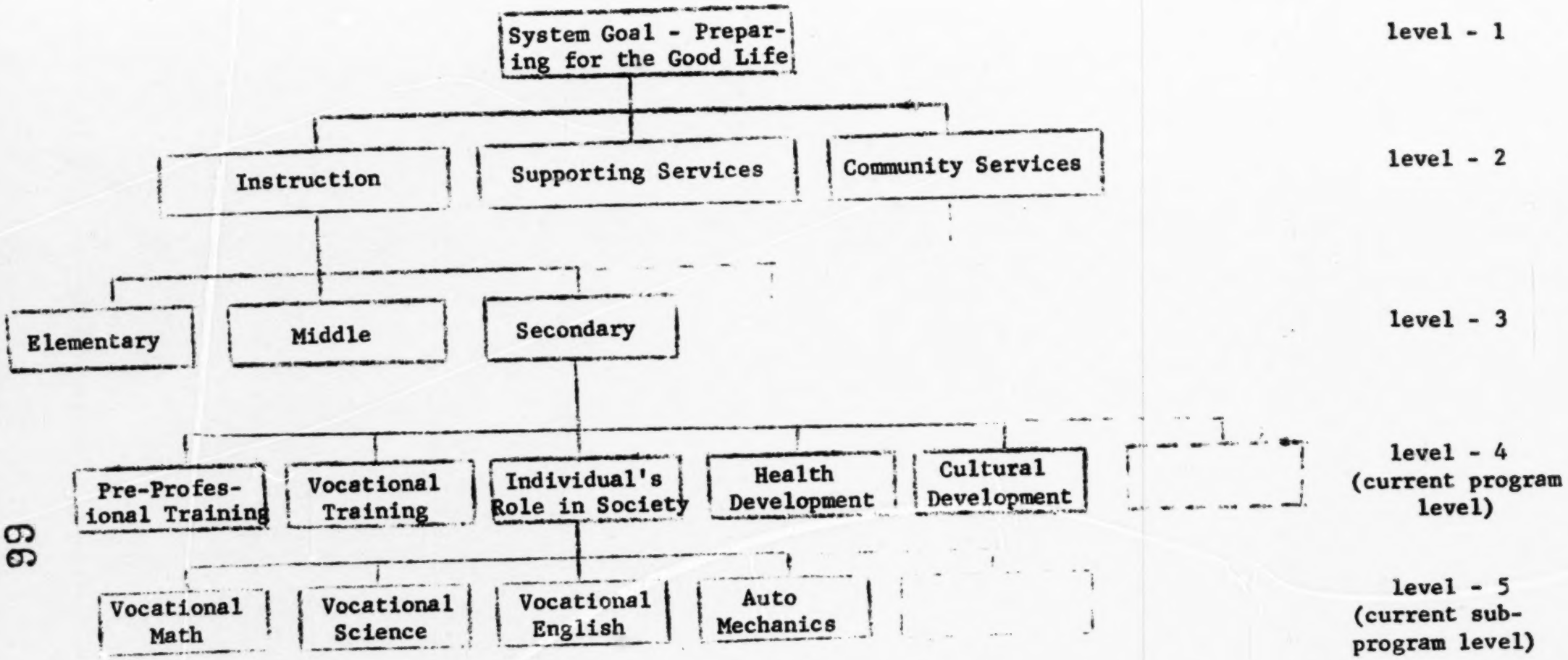
level - 2

level - 3

level - 4
(current school program)

level - 5
(current sub-program)

Schedule #6 - Programs Built Around Disciplines



Schedule #7 - Non-discipline Approach to Programs

APPENDICES

APPENDIX A

PERFORMANCE EVALUATION - WHAT'S IT ALL ABOUT?

by
Dr. George Redfern

(The following is a presentation by Dr. George Redfern, Associate Secretary of the American Association of School Administrators. This tape was cut on July 2, 1970, in connection with the 888M Workshop on Accountability in Education.)

Before teaching performance can be appraised, some of the confusions about the process must be cleared up. Teaching itself needs definition. Appraisal objectives must be clarified. Techniques of appraisal must be better understood and administered. Principals must become more skilled as evaluators and appraisal must not be viewed as a panacea for all the weaknesses of poor teaching. Incidentally, throughout the afternoon, the terms appraisal and evaluation will be used synonymously. The teaching process means different things to different people. The fact that there isn't consensus as to its meaning makes it difficult. This doesn't mean there hasn't been research on the subject. There has, much of it. In fact, the literature abounds in discussions, summaries, research studies, analyses of rating instruments, self-evaluation scales and many other facets of the problem. The data, though voluminous, doesn't necessarily remove the confusion. The relevance of this fact is that it is difficult to appraise a process which isn't clearly understood or agreed upon at the outset.

Difficulty arises from confusion. As to the objective of evaluation, actually there are several legitimate reasons for evaluating teaching and it does not follow that a different appraisal procedure must be used for each separate purpose. It does mean, however, that the process of appraisal must be related to purpose and that both the person being evaluated and the one doing the appraising must be working from a common base of understanding and purpose.

A third problem results when the techniques of appraisal are fuzzy and poorly administered. The fact that many teachers fear and resist being appraised can be attributed in some measure to not fully understanding how the process works or from having had an unfortunate experience with evaluation.

Appraisal processes range from a formalized rigid arbitrary rating of the teacher wherein he has a passive role to an open-ended tailor-made evaluation of his teaching performance in which he shares in the establishment of performance goals and these become the factors upon which evaluations are made. Whatever the process, the first requirement is to make absolutely sure that both the teacher and the evaluator know what they are doing.

Leadership, insights and skills on the part of the evaluator are of crucial importance. The evaluator should understand what he's doing and perform the evaluation skillfully. He needs to perceive clearly what he is striving to achieve to communicate well with the teacher to lead in the establishment of worthwhile teaching performance goals, to know how to spot areas that need strengthening, to help the teacher to overcome weaknesses, and to encourage self-development and self-improvement. Most of all he must be skillful in sizing up strong points and weaknesses. He must rely more on evidence than upon impressions and guesswork, and above all have the courage to criticize constructively and to use praise prudently. In other words, the key to good appraisals rests largely in the ability of the evaluator. Too many principals do not measure up as good evaluators. More attention should be given to this need.

An unrealistic expectation of what can be accomplished through appraisal can have unfortunate consequences. It's not a panacea for all weaknesses in teaching. It is not an end in itself, rather it is a process of diagnosis. It's a means of assessing the status of teaching performance. It provides the basis for initiating improvement whether the end is merit rating, determining the eligibility of tenure, strengthening performance, or termination of services, appraisal is the instrumentality for obtaining information and data in order to accomplish the desired end. It is

very important, therefore, not to confuse the end produce with the means of its achievement.

Let's examine the purposes of appraisal, some of the factors that make it a complex process, and a plan of evaluation which offers possibilities for the improvement of teaching performance.

Purposes of Personnel Appraisal

There are several purposes for appraising the performance of teachers. First and foremost, it is imperative that improvement be made in the quality of teaching. This is not to say that appraisal as and of itself improves the work of teachers. Instead, it is a process for assessing the status and the quality of current performance. It helps to determine in a more systematic manner the strengths and weaknesses of teaching performance as a foundation for corrective action if such is possible. It is a means of diagnosing the probable causes of poor performance. It enables both the teacher and the administrator to plan corrective action.

Verify Unsatisfactory Service

It is a means of verifying that the teacher, over a period of time, has not responded to adequate administrative and supervisory assistance, and consequently, can be fairly judged to be performing in an unsatisfactory manner. Appraisal, competently administered, facilitates decisions to terminate contracts for unsatisfactory service. It provides the kind of evidence that substantiates charges of incompetency. It fortifies the chief school administrator in recommending to his board that a contract be terminated.

Potential for Promotion

Appraisal is also used to identify more precisely individuals who appear to possess leadership qualities and who have the potential for promotion to positions of greater responsibility. Potential for promotion can best be ascertained when there is a systematic process for judging the quantity and the quality of performance.

Prognosis is more easily determined and guessing is less likely to prevail in determining those whose qualifications appear to merit recognition for advancement.

Status of Performance

Another purpose closely related to the first is merely for top administration to know more accurately the level of performance of each member on the staff. From time to time the chief school administrator needs to know how well his staff is doing. Appraisal helps him to achieve this purpose. It tells him the performance level of his teachers and enables him to report as and when called upon as to the relative competence of each staff member.

Appraisal Process Complex

It is easier to build a case for the need for a sound appraisal program than it is to prescribe a process for its attainment. The difficulty of developing and implementing new procedures stems from many factors.

Teacher Attitudes

Teachers vary in their understanding of and attitudes toward performance appraisal. Most of them know, whether or not they admit it, that they are being appraised. They tend to fear, however, the consequences of appraisal. They likewise believe that appraisal is too imprecise and too subjective to be a valid measure of their performance. They often feel that evaluators base their judgments on isolated incidents of performance and draw generalizations upon inadequate evidence. They also tend to view appraisal as a negative technique calculated to hurt more than it helps. This understandable skepticism is a normal reaction. It is due in part to the fact that the rationale of the appraisal process has often been poorly defined and the process itself is often inadequately understood and the techniques inefficiently carried out.

Inexperience of Administrators

School administrators have not been universally able appraisers. This is not entirely their fault. Training has not stressed this phase of school administration. Experience may not have yielded either the insights or the skills necessary to achieve a good appraisal program. The process itself is froth with many pitfalls and complexities.

Inadequate Appraisal Procedures

There is much variance in appraisal procedures. School systems differ in their approaches. Simple rating devices wherein teachers are evaluated by administrators are common. Ratings are made and filed. The teacher often is neither consulted nor advised about his rating. Evidence to justify the rating may be lacking. The importance of explaining to the teacher the reasons for the rating are neither felt nor observed.

Other school systems have adopted appraisal procedures which do stress the team approach concept of evaluation. In such situations, the teacher is advised of his appraisal. He may be given a copy of the evaluation and may even share in an appraisal conference wherein he may react to his appraiser's evaluations.

A more recent approach to evaluations is that of basing it upon the performance of the teacher in terms of specific teaching targets or objectives jointly determined by the teacher and his appraiser. This is a more complex form of evaluation but it does emphasize qualitative improvement in specific areas of concentration.

Performance Appraisal

It is believed that the professional growth and improved performance of the teacher can best be stimulated by a process which puts major emphasis upon a better definition of the teacher's job and identification of areas which need improvement, the designation of specific targets and an agreed-upon plan of relating supervision and evaluation. Self-appraisal by the teacher, evaluation by the appraiser, and an appraisal conference followed by appropriate follow-up action.

Definition of the Job

The nature and scope of the teacher's job often is poorly understood both by the teacher and the administrator. It is frequently assumed that the former knows what the job entails even though the latter has not specifically communicated his expectations to the teacher. Yet it is not uncommon for the teacher when he learns that his work hasn't measured up to the requirements of his employers to affirm that no one ever specified the expectations of the job. Furthermore, many teachers have a restricted concept of the total requirements of their jobs. Thus, before effective evaluation can be made of teaching performance, the nature of the job should be clarified with expectations and requirements carefully delineated.

Areas Needing Improvement

No one can claim perfection in all aspects of his job. In some areas he is more effective than in others. Improvements can be made in those aspects where the level of performance is less than what the teacher would like it to be or below the reasonable expectations of the administrator. So it is that an assessment should be made in all the major areas of teacher performance. That is, in instructional competence, pupil-teacher relationships, administrative-supervisory teacher relations, personal qualities and competencies, parent-community contacts, professional participation, in-service growth and similar areas. Any of these areas or others may reveal aspects of the teacher performance that needs upgrading. These should be earmarked for attention and may well become the objectives of planned improvement.

Specific Job Targets

Once major areas are identified, wherein improvement is desired, it becomes necessary to specify concrete proposals for action. The following illustrates what is meant by job targets.

Suppose, for example, the broad area is instructional competence. A specific target might be updating understanding of new concepts of teaching modern mathematics. Or suppose the broad areas are pupil-teacher relationships. A specific

performance target might be a critical analysis of the dynamics of pupil behavior. Particularly in a class where severe discipline problems occur. Another broad area might be administrator-teacher relations. A specific performance target might be seeking concrete ways to improve relationships between the teacher and principal with an intention to overcome or neutralize a personality conflict that appears to exist.

It can be seen that these illustrations of specific job targets are functional and they are related to on-going performance. If improvement is achieved, performance quality hopefully will be raised. The targets also represent facets of the job that have much to do with the teacher's own growth and development. They are usually amenable to evaluation wherein specific corrective actions are planned, steps can be taken to achieve the desired results and appropriate appraisal can be made.

Plan of Action

Improvement occurs in two ways. Part of the responsibility for corrective change rests with the teacher, part with the appraiser. When job targets are jointly determined, a plan of action should be instituted in which the teacher and the evaluator agree as to the role each will play in the improvement endeavor and this calls for joint commitments. It also requires that there be an understanding of the manner and the process by which the appraiser will finally assess the degree to which he believes the teacher has succeeded or failed to accomplish the targets that were established at the outset. The teacher should be informed as to the kind of evidence the evaluator will look for as he makes classroom visitations, as he holds conferences with the teacher, as he judges overall effectiveness and otherwise gleans information about the teacher's work.

Self-Appraisal

The advisability of requiring the teacher to appraise himself is not completely accepted by all authorities. There are those who hold that self-appraisal is an ineffective procedure. At best they say the teacher is likely to give an inaccurate

estimate of himself because it is difficult for one to be completely candid about his strengths or weaknesses, his achievements or lack of accomplishments. This point of view maintains also that competent teachers who are emotionally mature and secure tend to underevaluate themselves while those who are marginal or weak in performance and perhaps insecure are prone to overestimate their accomplishments. It is thus said that self-evaluation is likely to be inaccurate and unreliable. Therefore, being a relatively unreliable measure of competence, its usefulness as a tool of evaluation is open to serious question.

Others answer by saying that self-appraisal can be an effective instrument. The inadequacies previously mentioned result from misuse of the self-evaluation process, not necessarily from any basic weakness in the technique itself. The apparent inability of some teachers to assess their own performance may stem from a misunderstanding of the real purpose of the process. It may also stem from viewing the evaluation as a rating rather than as a means of promoting better performance. If the latter, self-appraisal becomes an important part of the total process. If job targets are established, if supervision and teacher effort are expended in their fulfillment, assessment of accomplishment is necessary and is a two-fold process. The teacher needs to make a self-analysis and judgment of results. So, too, the principal must make an evaluation.

Self-appraisal, properly used, is a guide for planning further self-improvement. It is not a device for self-incrimination providing damaging evidence which may be used by the principal or his superiors to injure the teacher's professional status in some manner. That some teachers have on occasion viewed self-appraisal in this light of self-indictment cannot be denied but it can be avoided with proper care.

Evaluation by Appraiser

This is a crucial aspect of the total appraisal process. The principal must come to that moment of truth when he makes a judgment as to the degree to which he believes the teacher has achieved success in attaining the established performance

goals. His judgment must reflect the knowledge of what actually has transpired. He must have a recognition of the extent of which he and other administrative and supervisory personnel have provided help and he must be conscious of the results achieved.

Candor requires praise where due and criticism where warranted. Above all evaluative estimates should be supported by evidence of observations made, data collected, conferences held and assistance provided. All of this must be done within a framework of fairness and objectivity.

The feasibility of formulating appraisal judgments with or without benefit of the teacher's self-appraisal is debatable. The advantage of seeing the teacher's estimate of hiw own performance before appraising him is that it gives a point of reference and enables the evaluator to temper his own judgment somewhat in accordance with those of the teacher. This may not necessarily be an advantage, however.

The advisability of making a completely independent evaluation entirely divorced from the teacher's self-appraisal appears to have many advantages. It is probably a more valid judgment, it requires the evaluator to rely upon his own best judgments supported by the facts. It is fair to the teacher. It requires greater candor. It is more likely to accomplish the goal of the evaluation process which is the improvement of performance.

The Appraisal Conference

The reason many appraisal conferences are not too successful or rewarding both for the teacher and the evaluator is that ample preparation is not made. Most evaluators agree that talking with the teacher about job performance is perhaps the most important part of the entire process. Yet it cannot be denied that frequently neither the teacher nor the evaluator look forward eagerly toward the conference.

Preparation for the conference need not be extensive provided the principal or the evaluator has done a good job throughout the year having collected as much appraisal data as possible, having made certain that adequate help has been given, and having kept adequate records of appraisal context.

While good preplanning is important it should be understood that conferences do not always go as planned. This requires good flexibility and maneuverability on the part of the evaluator. There is no recipe for conducting a good appraisal conference. Ample preparation will help. The security of knowing that all of the evaluators obligations' during the year have been fulfilled will also contribute to the success of the conference. The biggest contributor, however, is experience. Only as the evaluator conducts many conferences with all kinds of teachers is he likely to feel completely confident and sure of himself in the conference.

Follow-Up

Presumably the appraisal conference will yield some ideas for action. Follow-up will be required. It may well develop during the conference that the teacher will see need for certain kinds of follow-up activities to reinforce actions which have been taken during the year. Pinpoint these. Decide what should be done about them. If it appears that the principal needs to give some follow-up help or assistance, make sure that commitments are made realistically. In other words, don't make promises that can't be kept. It is usually a good idea for the principal, following the conference, to make some notes as to what was agreed upon indicating commitments that were made both by himself and the teacher and stress the ideas that must be carried out for good follow-through.

It is easy to forget what was said in the conference. The rush of events and pressure of other duties can easily dim the recollection of what transpired. Thus, simple notes, easily accessible in the teacher's evaluation folder are valuable ways for guaranteeing that follow-up actions are taken.

What, you may ask, does evaluation as just discussed have to do with the concerns of those of you who are attending this seminar?

Evaluation is, in a sense, a tool of communication. It is the means through which a school administrator and a teacher come to know more precisely the views and the expectations of each other in reference to the most essential concern of both

which which is the quality of teaching performance. Good evaluation tends to reduce the possibility of misunderstanding, inadequate interpersonal relationships, infrequent professional contacts, and just plain poor communications. This is all to the good.

While the appraisal of teaching performance is usually regarded as a personnel function, all administrators have an important stake in its successful operation because whatever improves the school system's product results in turn for better educational services for youngsters.

One of the most important performance areas of teachers is that of effective working relationships with parents and community. Teachers don't always realize this or work to make those relationships a top priority in their lists of responsibilities. A good appraisal program stresses all the performance areas of teaching with those relationships with parents and community being on a par with any that are identified as needing attention and strengthening.

The late Douglas McGregor in his book, The Human Side of Enterprise, describes two contrasting management assumptions. Under his Theory "X" Concepts, management makes certain assumptions about behavior. The average individual has an inherent dislike of work and will avoid it if he can. Most people must be coerced, controlled, directed, or threatened with punishment if management is to get them to put forth adequate effort toward the achievement of organizational objectives. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition and wants, above all, security.

McGregor also developed a concept which he called Theory "Y". This concept is almost a direct opposite of the Theory "X" view. Under the Theory "Y" Concept the expenditure of physical and mental effort is deemed to be as natural as play or rest. External control and the threat of punishment are not the only means for bringing about effort toward the achievement of organizational objectives. The individual will exercise self-direction and self-control in the quest of objectives to which he

is committed. Commitment to objectives is a function of rewards associated with their achievement. The average individual learns under proper conditions not only to accept but to seek responsibility. The capacity to exercise a relatively high degree of imagination, ingenuity, or creativity in the solution of organizational problems is widely, not narrowly, distributed in the population. Upon condition of modern industrial life the intellectually potentialities of the average individual are only partially utilized.

The relevance of these two contrasting assumptions of leadership to the appraisal process is that the Theory "Y" viewpoint contains the assumptions upon which performance appraisal, as I see it, are based. The relevance for the educational setting is that it makes all the difference in the world which theory is held by the evaluator and the teacher. If Theory "X" is adhered to, in all probability the performance approach, which I have discussed this afternoon, will not work out well. In fact, if the evaluator and the teacher are committed to the Theory "X" approach, then perhaps the traditional approach to evaluation, namely one-way unilateral rating according to a prescribed rating scale may be just as good as any approach. On the other hand, Theory "Y" offers great possibilities for the professional growth and the advancement of the teacher. Relevance of Theory "X" and "Y" for the evaluation process is self-evident.

Douglas McGregor

APPENDIX B

EVALUATION GUIDES

Internal Evaluation

1. North Central Association of Colleges and Secondary Schools, (6). Guide for Conducting an Evaluation of the Comprehensive Secondary School Through Faculty Self-Study. (This publication is available to members and covers the entire gamut of secondary school evaluation.)

2. Standards for Accreditation, Wyoming Elementary and Secondary Schools, Wyoming State Department of Education. (This standard is used by the State Department of Education in Wyoming and is also used by Wyoming schools as a self-study guide.)

3. Evaluative Criteria for the Evaluation of Secondary Schools (2). (A very complete guide for self-evaluation by secondary schools.)

External Evaluation

1. North Central Association of Colleges and Secondary Schools. (Done periodically at district expense to maintain North Central accreditation, using similar guidelines to that listed above.)

2. Wyoming State Department of Education. (Evaluation done periodically as determined by state statute and at state expense using Standards for Accreditation.)

APPENDIX C

BIBLIOGRAPHY OF EVALUATIVE CRITERIA

1. Citizens' Workbook for Evaluating School Buildings, by Jack L. Landis and Merle R. Sumption, The Interstate Printers and Publishers, Danville, Illinois. (The manual is designed for the use of citizens who wish to appraise their elementary, junior high or high school buildings in terms of how well they fulfill the housing needs of education in the community, but may be utilized by teachers and building consultants with equal facility.)

2. Evaluative Criteria for the Evaluation of Secondary Schools, by The National Study of Secondary School Evaluation, Washington, D. C., 20036. (The manual for evaluative criteria, fourth edition, is divided into two parts: Part 1, The Evaluation of Secondary Schools; and Part 2, Instructions and Suggested Procedures. The first part discusses the background and development of Evaluative Criteria and the programs. The second part consists of suggestions for use of the Evaluative Criteria by school staffs in their self-evaluations and by visiting committees.)

3. Educational Evaluation, by Martin W. Essex, State Superintendent of Public Instruction, Columbus, Ohio. (The official proceedings of a conference sponsored by the Ohio Department of Education on July 27-30, 1969. Nine chapters devoted to new ways and methods of evaluation.)

4. Middle States Association of Colleges and Secondary Schools, New Jersey State Department of Education, 255 West State Street, Trenton, New Jersey, 08608.

5. New England Association of Colleges and Secondary Schools, Inc., 50 Beacon Street, Boston, Massachusetts, 02108.

6. North Central Association of Colleges and Secondary Schools, 5454 South Shore Drive, Chicago, Illinois, 60615. (Publish the following: Guide for Conducting an

Evaluation of the Comprehensive Secondary School Through Faculty Self-Study; Gordon Cowelti, Executive Secretary, Commission of Secondary Schools. Policies and Criteria for the Approval of Secondary Schools. Policies, Principles and Standards for Approval of Junior High Schools. The North Central Association, quarterly publication which reviews pertinent topics on school evaluation.

7. Northwest Association of Secondary and Higher Schools, Clyde M. Martin, Union High School, District No. 5, Milwaukee, Oregon, 97222.

8. Southern Association of Colleges and Schools, W. B. Killebrew, Port Neches Public Schools, Port Neches, Texas 77651.

9. Western Association of Schools and Colleges, Donald R. McKinley, Davis Public Schools, Davis, California, 95616.

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SCHOOL ADMINISTRATORS WORKSHOP (888M)

Department of Educational Administration

Summer 1970

ACCOUNTABILITY IN EDUCATION

Monday, June 22			
1:10 p.m.	Welcome	Dr. Jim Ranz	Vice President for Academic Affairs
		Dean Laurence Walker	College of Education
	Workshop Design	Dr. Myron Basom	Workshop Co-Chairman
2:00 p.m.	An Education Executive Secretary and Accountability		
		Dr. Robert Johnson	Executive Secretary of the Colorado Education Association
3:00 p.m.	Break		
3:00 p.m.	Dr. Johnson		
3:30 p.m.	Harold Webb		Executive Secretary of School Board Association
Tuesday, June 23			
1:10 p.m.	The Taxpayer and the Educational Establishment		
		Mr. John Allen	Executive Secretary of Wyoming Taxpayers Association
2:20 p.m.	Break		
2:40 p.m.	Mr. John Allen		
3:30 p.m.	Small group work		
Wednesday, June 24			
1:10 p.m.	Planning--Programming--Budgeting--Evaluation Systems (PPBES)		
		Dr. William Curtis	Research Project Director Association of School Business Officials
2:20 p.m.	Break		
2:40 p.m.	Dr. Curtis		
3:30 p.m.	Small group work		
Thursday, June 25			
1:10 p.m.	Dr. William Curtis		
3:30 p.m.	Small group work		

Friday, June 26

1:10 p.m. Accountability and Evaluation as Seen From the State Department
Wyoming State Department of Education
3:30 p.m. Small group work

Monday, June 29

1:10 p.m. The School Administrator, the Federal Government and Accountability
Dr. William Ellena — Deputy Executive Secretary, American Association of School Administrators
3:30 p.m. Small group work

Tuesday, June 30

1:10 p.m. Dr. Bill Ellena
3:30 p.m. Small group work

Wednesday, July 1

1:10 p.m. Dr. Bill Ellena
3:30 p.m. Small group work

Thursday, July 2

1:10 p.m. Evaluation of Teachers and Administrators
Dr. George Redfern — Associate Secretary, American Association of School Administrators
3:30 p.m. Small group work

Friday, July 3

1:10 p.m. Dr. George Redfern
3:30 p.m. Small group work